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A RESOURCE ALLOCATION AND NEEDS ASSESSMENT STUDY
OF THE
HIGHWAY PATROL BUREAU
DIVISION OF MOTOR VEHICLES
STATE OF MONTANA

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STATE OF MONTANA

prepared by

The Division of State and Provincial Police

BUREAU OF OPERATIONS AND RESEARCH
INTERNATIONAL ASSOCIATION OF CHIEFS OF POLICE
Eleven Firstfield Road, Gaithersburg, Maryland

January, 1979



Law Enforcement Code of Ethics

As a Law Enforcement Officer, my fundamental duty is to serve mankind; to safeguard lives and property; to protect the innocent against deception, the weak against oppression or intimidation, and the peaceful against violence or disorder; and to respect the Constitutional rights of all men to liberty, equality and justice.

I will keep my private life unsullied as an example to all; maintain courageous calm in the face of danger, scorn, or ridicule; develop self-restraint; and be constantly mindful of the welfare of others. Honest in thought and deed in both my personal and official life, I will be exemplary in obeying the laws of the land and the regulations of my department. Whatever I see or hear of a confidential nature or that is confided to me in my official capacity will be kept ever secret unless revelation is necessary in the performance of my duty.

I will never act officiously or permit personal feelings, prejudices, animosities or friendships to influence my decisions. With no compromise for crime and with relentless prosecution of criminals, I will enforce the law courteously and appropriately without fear or favor, malice or ill will, never employing unnecessary force or violence and never accepting gratuities.

I recognize the badge of my office as a symbol of public faith, and I accept it as a public trust to be held so long as I am true to the ethics of the police service. I will constantly strive to achieve these objectives and ideals, dedicating myself before God to my chosen profession . . . law enforcement.



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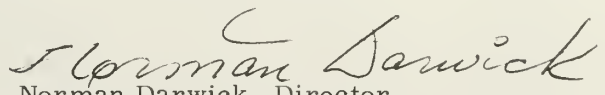
FOREWORD

We are pleased to submit this resource allocation and needs assessment study for the Montana Highway Patrol Bureau. This report is the result of a study conducted by the Division of State and Provincial Police of the International Association of Chiefs of Police, executed in accordance with an agreement signed on June 5, 1978 by Glen D. King, Executive Director of the IACP; Colonel Joe R. Sol, Chief of the Montana Highway Patrol Bureau; and Larry G. Majerus, Administrator of the Motor Vehicle Division, State of Montana, Department of Justice. Funding for the study was provided through the Highway Safety Division of the Montana Department of Community Affairs.

The study was performed by Senior Staff Analysts Dean R. Phillips and Clifford S. Price under the supervision of Assistant Director Ronald H. Sostkowski. Overall direction and management of the project was provided by Norman Darwick, Director of the Division of State and Provincial Police.

The study includes an examination of existing manpower and material resources of the department, public information and education program needs, a study and evaluation of the organizational structure, management and administrative policies and procedures, personnel administration, utilization of manpower and resources, field operations, records management, communications, service functions, and relationships with other agencies. Special attention was devoted to services which could be discontinued, reduced, or handled by non-sworn employees. Special attention was also directed to the National Maximum Speed Limit (NMSL) enforcement practices, procedures, compliance, and resource requirements of the department in the light of federal NMSL standards.

We wish to express our sincere appreciation to Colonel Sol, Lieutenant Colonel Griffith, Mr. Larry Majerus, Mr. William Furois and other state officials for their interest, frank expression of views, assistance, and cooperation provided to our staff during the conduct of this study. The cooperation and support of commanders, supervisors, and operating personnel of the Montana Highway Patrol Bureau was greatly appreciated. Their efforts contributed significantly to the fact-finding, analysis, and conclusions reached in this report. We are certain that their attitudes will be a strong factor in the successful implementation of the programs contained within this report.


Norman Darwick, Director
Bureau of Operations and Research

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INTRODUCTION

This report is the result of an agreement dated June 5, 1978, between the Montana State Highway Patrol Bureau and the Division of State and Provincial Police of the International Association of Chiefs of Police. The International Association of Chiefs of Police agreed to conduct a Resource Allocation and Needs Assessment Study of the Highway Patrol Bureau, Division of Motor Vehicles of the State of Montana. The report includes in-depth studies and recommendations in the following areas:

1. An examination of existing police manpower and material resources to place the study in proper perspective.
2. Public information and education, to include a thorough study of the Bureau's responsibilities and needs for public information and education programs with special emphasis being placed on programs relating to the National Maximum Speed Limit (NMSL).
3. Organizational structure, to include the study and evaluation of the present structure and a detailed description of the recommended structure.
4. Management and administrative policies and procedures, to include planning, direction and supervision, internal inspection and control, fiscal management, public information, and community relations.
5. Personnel administration, to include recruiting and selection, promotion, performance evaluation, training, education, career development, salaries and other working conditions, employee relations and disciplinary procedures.
6. Utilization of manpower and resources, to include an examination of statistics to determine field force workload based upon traffic, crime and other ancillary services and recommendations concerning the immediate and short range manpower needs of the Bureau.

7. Field operations, to include evaluation of the effectiveness of the current patrol operation with special attention directed to NMSL enforcement practices, procedures, compliance, and resource requirement in the light of federal NMSL standards. Special attention will be devoted to services which can be discontinued, reduced or handled by non-sworn employees.
8. Records management, to include investigative, identification, traffic, offense, arrest, and administrative records; report processing and information retrieval and storage.
9. Communications, to include an evaluation of all aspects of the communication function (radio, telephone, computer) from a technical as well as an operational point of view. Suitability and use of existing equipment will also be determined.
10. Service functions, to include custody of persons and property, laboratory facilities, building space utilization, adequacy and maintenance of equipment necessary to carry out the Bureau's highway patrol responsibilities.
11. Relationships with other agencies, to include areas in which the Bureau and other agencies can mutually improve police services by simple, cooperative agreements and other programs.

To accomplish the Resource Allocation and Needs Assessment Study, the IACP performed the following:

1. Analyzed existing organizational charts, written directives, standard procedures, regulations, statutory provisions, and other documents relating to the form and content and the department's organizational structure.
2. Interviewed appropriate departmental personnel to evaluate management views and policies, supervisory responsibilities, and organization for execution of functions.
3. Observed physical and operational characteristics.
4. Observed the quality of supervision, the level and degree of discipline and analyzed internal control systems.

5. Assessed manpower allocation and distribution practices.
6. Reviewed the quality, extent, and depth of police-community relations activities.
7. Inspected work centers, equipment and operations.
8. Conferred with the chief, assistant chief, section commanders, other command officers and specialized personnel to interpret data collected.

Work methodology of the study involved three distinct phases:

1. The collection of data and information concerning the organization, administrative and management procedures, allocation and distribution of manpower in the field forces, and operational procedures of the department.
2. Review, analysis and tabulation of the data collected.
3. Development of recommendations, proposals, and programs designed to improve the organizational structure and efficient operation of the department.

The IACP staff assigned to this project used interviews, conferences, observations, inspections, and analysis as their primary methods. The staff visited uniformed highway patrolmen, supervisors, and other police personnel at their daily assigned positions, observed them in routine and special activities, and questioned them regarding their functions. State highway patrol executive and middle management and subordinate employees cooperated in extensive discussions about the department and its challenges and opportunities for betterment. Periodic conferences were also conducted with the chief and his top level command and administrative staff.

The IACP staff visited each field headquarters facility and in addition, viewed departmental vehicles and a host of other material objects. A multitude of documents were analyzed and reports and studies conducted by other organizations and/or groups which were of interest to the State Highway Patrol Bureau were carefully reviewed.

This Resource Allocation and Needs Assessment Study was written following research, careful analysis, and evaluation, and numerous conferences and meetings between assigned senior staff analysts and other IACP staff members and supervisors. The report is intended to produce a five to ten year program for progress with its sole purpose being to improve and further professionalize the Montana State Highway Patrol Bureau.

For the purposes of this report, any IACP reference to officers, police officers, patrolmen or patrol officers includes all highway patrol officers or sworn members of the department. Employees shall generally mean civilian employees. Members shall generally mean sworn members of the department. When used by itself, the reference to department or agency shall generally mean the Montana State Highway Patrol Bureau.

The reader of this report shall consider traffic as the primary element of the enforcement system. When defining responsibilities and determining resources, traffic will be considered as the general police function under discussion unless specifically excepted or identified in an exclusive discussion.

Montana State Government

Montana's state constitution was formulated by a convention in 1889; of average length, it consists of 21 articles. The constitution may be amended by a convention called by a vote of two-thirds of the legislature and the approval of the people, or by referendum by two-thirds vote of the legislature and a majority vote of the people, or by initiative. For the purposes of this report, we will be concerned with the "executive reorganization act," an act to reorganize the executive department of Montana state government in accordance with the constitutional amendment, chapter 1 of the extraordinary session, laws of Montana, 1969, adopted at the general election of November 3, 1970, and effective under the governor's proclamation, November 20, 1970, which provides that:

"All executive and administrative offices, boards, bureaus, commissions, agencies and instrumentalities of the executive department of state government and their respective functions, powers, and duties, except for the office of governor, lieutenant governor, secretary of the state, attorney general, state treasurer, state auditor, and superintendent of public instruction, shall be allocated by law among and within not more than twenty (20) departments by no later than July 1, 1973. "

and repealing Sections 27-427, 59-901, 59-902, R. C. M., 1947. The 1973 amendments substituted "titles" for "acts" and deleted "of 1971" from the end of the short title.

In accordance with the constitution, all executive and administrative offices, boards, commissions, agencies, and instrumentalities of the executive branch of state government, and their respective functions, are allocated among and within 19 separate state departments or entities. The governor is the chief executive officer of the state and subject to the constitution and law of the state, the governor formulates and administers the policies of the executive branch of the state government. In the execution of these policies, the governor has full powers of supervision, approval, direction, and appointment over all departments and their units, other than the office of the lieutenant governor, secretary of state, attorney general, auditor, and superintendent of public instruction, except as otherwise provided by law. Whenever a conflict arises as to the

administration of policies of the executive branch of state government, except for conflicts arising in the office of the lieutenant governor, secretary of state, attorney general, auditor, and superintendent of public instruction, the governor shall resolve the conflict, and the decision of the governor is final.

Under the reorganization act, a Department of Justice was created with the attorney general serving as department head. Within the Department of Justice, a Division of Motor Vehicles was created. The act abolished the Montana Highway Patrol Board, provided for in Title 31, Chapter 1, R. C. M. 1947, and except for the function of appointing the highway patrol chief, transferred the functions of the highway patrol and the position of highway patrol chief to the Division of Motor Vehicles.

Montana State Highway Patrol Bureau

In accordance with the requirements set forth in the executive reorganization act, the Montana State Highway Patrol was redesignated as a bureau within the Motor Vehicles Division of the Department of Justice, headed by the attorney general. The chief of the Montana Highway Patrol, appointed by the attorney general, may hold his office until his appointment has terminated for cause and receives a salary fixed by the attorney general within the limits of the legislative appropriation for such purpose. Under the terms of Section 31-104, R. C. M. 1947, as amended, the chief is given responsibility for the direct control and supervision of all patrolmen of the Montana State Highway Patrol, subject to the approval of the attorney general. The statute provides that the chief, with approval of the attorney general and within the limits of any appropriation made available for such purposes, shall:

1. Designate the authority and responsibility in each such rank, grade, and position;
2. Formulate standards, policies and qualifications in the selection of recruit patrolmen;
3. Prescribe the official uniform of the Montana State Highway Patrol;
4. Station employees in such localities as he shall deem advisable for the enforcement of the traffic laws of the state;
5. Charge against each employee the value of property of the state, lost or destroyed through the carelessness or neglect of such employee;
6. Discharge, demote or temporarily suspend after hearing as provided in Section 31-105, any patrolman of the department;

7. Have purchased, or have otherwise acquired, by the purchasing department of the state, motor equipment and all other equipment and commodities deemed by him essential to the efficient operation of the Montana Highway Patrol.

Under Section 31-105 of R. C. M. 1947, the Division of Motor Vehicles, Department of Justice, shall designate supervisory personnel, including, but not limited to, captains, lieutenants, sergeants, and patrolmen in such numbers as necessary, but within the limits of the legislative appropriation made available for such purposes. Replacements and additions to the highway patrol force shall be chosen in equal numbers from the twelve (12) highway districts, provided, however, that if sufficient qualified applications are not received from any one district that the division may at its discretion substitute other qualified applicants from any other district. The code further states that supervisory personnel shall be selected from the patrolmen by the chief, subject to the approval of the Division. The duties and jurisdiction of the supervisory personnel shall be outlined, defined and under the control of the chief, subject to the approval of the Division.

Jurisdiction of Montana State Highway Patrol

Section 31-110 of R. C. M. 1947, outlines the duties and jurisdiction of the Highway Patrol Bureau as follows:

1. The highway patrol supervisor and all patrolmen may make arrests for the following offenses if committed in the presence of the supervisor or any of the patrolmen; committed in a rural district, upon the request of a peace officer; or committed in a city or town of less than 2,500 inhabitants, upon the request of any peace officer or the mayor of the city or town; deliberate homicide, assault with a deadly weapon, arson, criminal mischief, burglary, theft, kidnapping, illegal transportation of narcotics, or violation of the Dyer Act regarding the transportation of stolen automobiles. Such highway patrolmen have no authority and are expressly forbidden to make arrests in labor disputes or to prevent violence in connection with strikes and may not perform any duties whatsoever in connection with labor disputes, strikes or boycotts.
2. Patrolmen are considered police officers for the purpose of making arrests for all offenses occurring on the highways or involving the use of motor vehicles or the registration thereof and for the purpose of serving warrants of arrest in connection with such violations.
3. Patrolmen may stop any truck or motor vehicle in which livestock or a livestock product are being transported and ascertain whether the driver of such truck or vehicle is rightfully in possession of such

livestock or livestock products. If the patrolmen have good reason to believe that livestock or livestock products have been stolen, they may take possession of the same until the livestock or livestock products can be delivered into the custody of the sheriff or until such time as facts as to the actual ownership can be ascertained.

4. A highway patrolman has the same authority to enforce provisions of the Motor Carrier Licensing Law as that granted the Public Service Commission under 8-103. The Highway Patrol Bureau shall cooperate with the Public Service Commission and the Department of Highways to assure minimum duplication and maximum coordination of enforcement efforts.

Jurisdiction on Indian Reservations

Montana has seven large Indian reservations totaling 8,340 square miles—about 5.6 percent of the state. Many enrolled Indians live in surrounding areas yet maintain their tribal status.

An Indian tribal organization is a formal, legally constituted unit of government. Membership rules, procedures for doing business, and other elements differ from tribe to tribe. They are classified, for planning purposes and grant assistance, as units of local government.

Services supplied by tribal government include law and order (operation of tribal police departments, and tribal courts, to handle both criminal and civil matters involving Indians), welfare, scholarship programs, recreation programs, etc.

Montana has no criminal jurisdiction over Indians on Indian land unless such authority has been specifically granted to the state by the tribe. The federal government has exclusive jurisdiction over Indian offenses when committed on Indian land; it has concurrent jurisdiction with the tribe to try an Indian offender for a crime prescribed by state law if the crime is committed on Indian land. The state has jurisdiction in all criminal cases involving Indians outside Indian land.

Relinquishment of jurisdiction on the Indian reservation to the state was made permissible by Public Law 280, Citation 18, U.S.C. 1162 and 28, U.S.C. 1360. The Flathead reservation is the only one of the seven existing reservations to have relinquished or established concurrent a jurisdiction for criminal violations. (See Section 83-801 through Section 83-806 of R. C. M. 1947 as amended.)

Operational policy as it concerns jurisdiction of the seven Indian reservations is summarized below:

1. Flathead Indian Reservation

Salish (Selish) - Pend'd Oreilles - Kalispell and Kootenai Tribes.

The Highway Patrol has concurrent jurisdiction on this reservation in all phases within the scope of patrol authority. Indian police have authority over tribal members, they assume no action, enforcement or accident investigation involving non-Indians, except by formal complaints through county attorney. Citations issued by the Highway Patrol are written into justice peace court and processed in the same way they would be off the reservation.

2. Blackfeet Indian Reservation

Blackfeet - Bloods and Piegan Tribes.

The Highway Patrol does have jurisdiction to cite Indian traffic offenders into tribal court. Conviction rate is reasonably good. Indian police investigate most accidents involving tribal members. If there is a fatality the patrol is notified to make investigation. Indian police have jurisdiction over non-Indian, depends on the officer whether he exercises it.

3. Rocky Boy Indian Reservation

Chippewa Tribe

The Highway Patrol has no jurisdiction over tribal members in either traffic violations or accident investigation. Occasionally the patrol is notified to investigate fatal accidents involving tribal members. If non-Indians are involved in a fatal accident it is turned over to the patrol.

Hill County Sheriff's Department has deputized Indian police, giving them jurisdiction over non-Indians on the reservation.

4. Fort Belknap Indian Reservation

Gros Ventres and Assiniboine Tribes.

The patrol does assume jurisdiction and can issue notice to appear citations to tribal members on the reservations to appear in justice

peace court. Warrants of arrest for Indians can be served by highway patrolmen on the reservation if they are accompanied by a tribal officer.

Highway Patrol is seldom notified of accidents unless non-Indian are involved.

Indian police do not have jurisdiction over non-Indians on the reservation.

5. Fort Peck Indian Reservation

Sioux and Assiniboine Tribes

Highway Patrol officers register with the B. I. A. as special officers to give them some official status on the reservation to issue tribal citations for specific violations proclaimed by the tribal council. These citations are written into tribal court and the revenue stays with the tribe. No disposition of the case is returned to the arresting patrolman. There is no enforcement of the energy conservation speed law. Indians are required to have a valid driver license. Indian police investigate most of their (Indian involved) accidents. Patrol is notified to investigate fatalities.

6. Crow Indian Reservation

Crow Tribe

Montana Highway Patrol has no jurisdiction over tribal members to enforce traffic law or investigate accidents. Montana Highway Patrol is notified to make a report on fatal accidents. Patrol does have jurisdiction over non-tribal members. Indian police have no jurisdiction over non-Indians.

7. Northern Cheyenne Reservation

Cheyenne Tribe

Montana Highway Patrol has no jurisdiction over tribal members on the reservation to enforce traffic law or accident investigation, with one exception, if a tribal member is involved in a fatal accident the patrol is notified to make an investigation. Patrol does enforce

traffic laws and investigate accidents involving non-Indians. Indian police do not assume jurisdiction over non-Indians on traffic offenses.

Existing Manpower and Material Resources

The existing manpower of the Highway Patrol Bureau is listed at 313 total.

There are 220 sworn members of the department consisting of one colonel, one lieutenant colonel, one major, eight captains, eight lieutenants, 28 sergeants, 173 highway patrol officers. The civilian complement is made up of 93 civilian employees, 16 of whom are part-time. Although intermingled with regular records employees, a large portion of the civilian segment is assigned to driver licensing activities.

At the time of the fieldwork on this report, operations of the Highway Patrol Bureau are conducted from headquarters (a rented facility), one state-owned division office, one state-owned driver examination station, 16 rented facilities used for the remaining five division offices, and 11 regional driver licensing examination stations, and five other non-rental offices used as examining stations in courthouse and city-county complexes. Additional details regarding building space utilization, adequacy and maintenance of equipment necessary to carry out the Bureau's Highway Patrol responsibilities will be found in the Uniformed Patrol Operations Chapter of this report.

A more detailed analysis of the existing manpower of the Highway Patrol Bureau and recommendations concerning manpower allocation and distribution will be found in the Manpower Allocation and Distribution Chapter of this report.

II

ORGANIZATION AND SPAN OF CONTROL

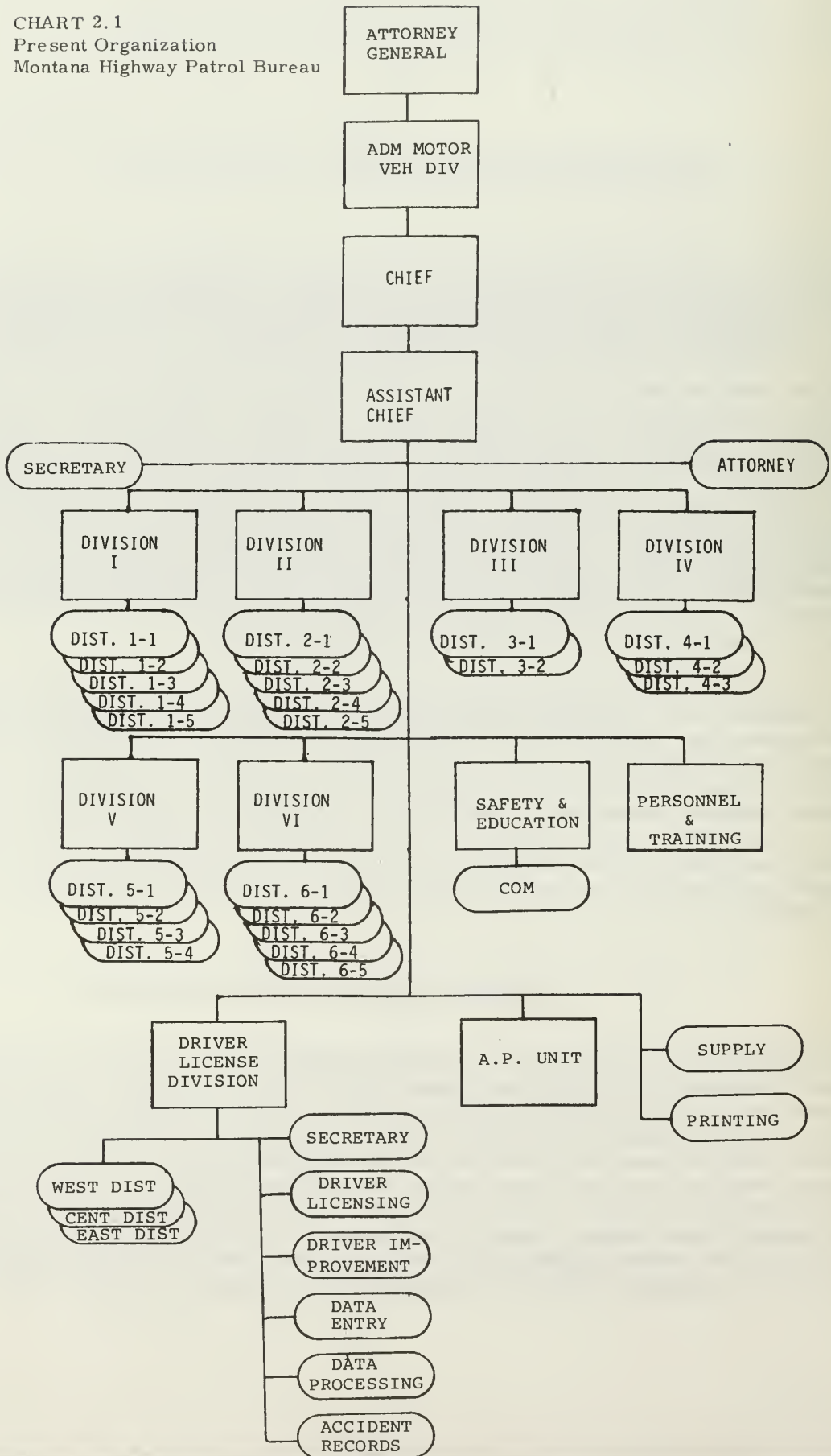
The formal organization of an agency may be defined as a system of well-defined jobs, each with a definite responsibility, accountability, and authority; thus enabling members and employees to work more efficiently and effectively. It has well-defined groups with specific delegated tasks. The formal organization is an arbitrary graphic structure which explains the functions and relationships of individuals with other people in the organization. It has a system of goals, objectives, and policies as well as a method for coordinating individual efforts and cooperation to achieve these goals. Such an organization is meant to achieve an effective division of labor, creation of efficient authority, and the establishment of a framework which facilitates interrelationships. Without these achievements, conflicts, loss of work efforts, and operational problems occur, thereby frustrating, wasting and diverting the aims and resources of the agency. Without an effective conceptual framework within which he can view organizational behavior, an intolerable burden is imposed upon the decisionmaker and he may be placed in a position of seeing every act, every decision and every organizational occurrence as being unique and without meaningful precedent.

The structure of an organization depends upon its purpose. The effectiveness of the whole organization depends upon the effectiveness of its parts. There must be a clear division of responsibility and work. The compliance of individual members of a group must be secured to achieve organizational goals. Unless there is direct authority, each individual will act independently. Individuals must be shown their relationship to the entire organization. This enables them to have a basic understanding of their function, position, and standing in the organization. In this regard, organizational charts serve to depict graphically the manner that various units are related and coordinated for maximum effectiveness.

Section 1 - Present Organizational Structure

Under the Executive Reorganization Act of 1970, effective under the governor's proclamation, a department of justice was created with the attorney general serving as department head. Within the Department of Justice, a Division of Motor Vehicles was created. The Act abolished the Montana Highway Patrol Board and transferred the functions of the Highway Patrol and the position of highway patrol chief to the Division of Motor Vehicles. The chief, appointed by the attorney general, by statute is given responsibility for the direct control and supervision of all patrolmen of the Montana State Highway Patrol Bureau, subject to the approval of the attorney general. Chart 2.1 portrays the present organizational concepts of the bureau structure in relation to the chief, his immediate staff and the field operating divisions. In essence, the

CHART 2.1
 Present Organization
 Montana Highway Patrol Bureau



department operates from a three section basis—an Operations Section, a Traffic Control Section and a Driver Examination Section.

Operations Section

The Operations Section basically functions as the administrative arm of the chief. Supervised by the assistant chief carrying the rank of lieutenant colonel, the Operations Section is subdivided into a Personnel and Training Section headed by a captain, a Public Safety and Information Section, headed by a captain, a State Accident Prevention Unit (APU) headed by a lieutenant, a Summons Section headed by a supervisor, an Accident Records Section headed by a supervisor, a Communications Section headed by a supervisor, a Property and Supplies Section headed by a sergeant and a Printing Department headed by a production supervisor. In addition to direct supervision of the aforementioned sections, the assistant chief also functions as the second in command over all other administrative and operational units of the Bureau. Other administrative responsibilities of the assistant chief include preparation and control over the department's budget, control over expenditures, assistance to the chief in the determination and implementation of policies and procedures, review and evaluation of effectiveness of departmental programs, and other special assignments as directed.

Administrative and Driver Services

The Administrative and Driver Services, headed by a major, primarily performs the driver examination, driver licensing, and driver improvement functions for the state. This section is subdivided into a driver examinations section headed by a lieutenant, a driver licensing section headed by a supervisor, a driver improvement section headed by a supervisor, a data processing entry section headed by a systems analyst, and a photo-license production section which is actually a subcontracted operation. Due to the centralization of records the major commanding the administrative and driver services section also performs daily supervision over the Summons Section and the Accident Records Section.

Traffic Control Section

The Traffic Control Section is composed of six geographical field divisions, each headed by a captain and staffed with a lieutenant and varying numbers of sergeants who supervise patrol districts. Division 1, headquartered in Missoula, is composed of six counties (19,339 square miles) and is subdivided into five sergeant districts. Division 2, with a headquarters in Great Falls, is composed of eight counties (21,762 square miles) and is subdivided into five sergeant districts. Division 3, with a headquarters in Lewistown, is composed of nine counties (20,901 square miles) and is subdivided into two sergeant districts. Division 4, with a headquarters in Glendive, is composed of eleven counties (29,840 square miles) and is subdivided into three sergeant districts. Division 5, with a headquarters in Butte, is composed of nine counties and a small portion of Yellowstone Park (22,369 square miles) and is subdivided into four sergeant districts. Division 6, with a headquarters in Billings, is composed of eleven counties

(31,377 square miles) and is subdivided into five sergeant districts. Operating chain of command from the division captains is through the assistant chief to the chief of the bureau.

Section 2 - Analysis of Organizational Structure

The normal growth of the Montana State Highway Patrol Bureau plus the movement of the agency into different operating departments of state government has in itself created some organizational and management control problems. For example, there is a questionable relationship between the law enforcement function of highway patrol, department of motor vehicle functions, department of transportation functions, and other law enforcement services of the state government. We believe that the size of the department, the importance of its operations—both to the public and to state government, and the level of coordination that must be affected between it and other state departments require that its level of organization be raised to that of a "Division" with direct reporting to the attorney general and close proximity to the governor's office. Montana is unique in comparison to other states by its placement of the Highway Patrol under a motor vehicle division contained within a department of justice headed by the attorney general. Division status will strengthen coordination between the Highway Patrol, the Law Enforcement Services Division, and other agencies of government.

The size of the department and the complexity of its operations also dictates the need to separate the operations functions, the administrative functions, the technical services functions and the state driver services functions into separate entities wherein specific responsibility can be assigned and accountability held. The grouping of tasks, similar or related in purpose, process, method, or clientele under one person should improve staff coordination over those tasks and should also eliminate duplication of effort and fragmentation of responsibility.

The geographical distribution of the various elements of the Montana Highway Patrol Bureau requires that special consideration be given to the span of control exercised by the chief, the management staff and the line supervisors. While one-to-one command relationships should be avoided wherever possible, close consideration should be given to minimum and maximum spans of supervisory responsibility. Obviously these judgments will depend upon the type of activities being supervised, the given geographical area, and the particular time period. Consideration must be given to command officer positions wherein subordinates report directly to him on all operational phases. Span of control should be narrowed or lengthened depending upon the job task, whether it be supervision over a single function or the broader form of management wherein the commander must attend to the coordination and direction over varied units in addition to planning, reporting, inspecting, attending meetings, formulating policy, and carrying out discipline.

One-to-One Command Relationships

A one-to-one relationship between the head of a police agency, bureau, or division and a single assistant may result in an unnecessary extra command step between the

operational forces and their immediate commander. As a result, communication downward from the superior to all elements in the organization may be diffused or possibly blocked.

Theoretically, the second position in the organizational hierarchy is established to handle routine matters, protect the executive from unnecessary interruptions, assimilate and speed the flow of information upward, and generally reduce administrative burdens. These functions cannot be effectively or efficiently handled by one man, but rather should be delegated to a minimum of two persons, each responsible for specific areas. We believe an organizational structure should be established on functional rather than personal considerations. The former, in contrast to the latter, does not require realignment when personnel changes occur. In a planned structure, the administrative process clearly fixes responsibility in the minds of personnel and facilitates day-to-day operations.

Administrative Organization by Function

Problems related to administrative organization by function do not ordinarily arise until a department has attained considerable size. A definition of a "considerably sized" department has not been established clearly. The administrator should begin thinking in terms of functional organization when his span of direct control approaches six. If the administrator has any indication that his organization will grow out of its existing structure in the near future, he should ensure orderly growth by providing a suitable structure before such a change is forced upon him. To maintain the efficient operation of the department during periods of growth, the chief administrator must watch carefully the structure which supports his organization; he must, whenever possible, keep the basic structure one step ahead of the growth process.

For the purposes of organization, all police tasks may be grouped into three functional areas—operations, services and administration.

Operational or Line Function. The operational or line function includes those tasks essential to the achievement of the basic police purpose—the protection of life and property and the enforcement of all laws in a jurisdiction. The general tasks of this function are patrol, crime investigation, traffic control, vice control, and juvenile control.

Service or Auxiliary Function. The service or auxiliary function includes the tasks which support the line or operational personnel. Tasks such as filing, detention, communications, maintenance, property management, and police laboratory duties are performed in support of the line personnel.

Administrative Function. The administrative function includes the tasks of management—planning, organizing, staffing, directing, coordinating, reporting and budgeting. The performance of these duties ensures the accomplishment of the functions of operations and services.

Organization vs. Administration

To understand the principles of organization properly, a clear distinction should be established between organization and administration. Organization encompasses the structuring of functions into meaningful relationships. Administration is concerned with the decisionmaking process and the direction of individuals to reach a recognized and desired goal. Organization provides a pattern or structure and facilitates effective administration. Organization can be viewed as the development of structure—administration as the implementation of a process. The degree to which administration is effective is dependent upon a sound organizational structure.

Basic Principles of Organization

The following recognized principles of organization and management, if applied, will provide the Montana Highway Patrol Bureau with the most effective means to accomplish its highway traffic safety and law enforcement responsibilities. They are solid foundations upon which a practical and effective working system can be built. They are the principles upon which the IACP analyzed the present highway patrol bureau organization and administration and designed an improved structure.

Definition of Work. The first step in organizing is to identify and define the work to be performed. This is sometimes difficult because certain activities may be overlooked or restrictively incorporated within general tasks. The definition must be sufficiently broad to identify the work and yet specific enough to describe fully the meaning and requirements of each task and function to be performed.

Grouping of Similar Tasks. Each task must be carefully analyzed to ascertain its essential characteristics. Thereafter, tasks are combined in some logical fashion. This may be accomplished by grouping related activities by purpose or function, process, type or class of persons served or dealt with, by area, or by time of day. In most police agencies, the tasks to be performed are grouped according to function or purpose with separate units established to perform (1) line duties—that is, those forces that actually accomplish the work for which the organization was created, and (2) staff functions—consisting of those forces which support the line or operational units.

The functions of line units are generally grouped according to the method of performing the work so that all patrol activity is grouped together, investigative effort concentrated in another unit, and so on. Similarly, the staff work in larger organizations may be subdivided by function into technical, administrative, and preventive inspectional staff activities. These services are performed to aid the line in the accomplishment of its duties or to insure that policy and procedure are carried out according to plan.

Unity of Purpose. For an organization to operate successfully, its individual members must understand the organization's goals and must cooperate with each other to achieve them. Every police officer and police supervisor must recognize that he is

a member of the department first and a specialist thereafter. Failure to understand, accept, and apply this principle allows members of an organization to work at cross-purposes and in disharmony.

Hierarchy. Most sizable organizations and almost all police agencies are structured with lines of authority and responsibility running through several levels with a broad base at the bottom and a single head at the top. Each and every person or unit in the organization should be answerable ultimately to the chief administrative officer at the apex of the hierarchy.

Fixing of Responsibility. Every member of a police agency should know the duties and responsibilities of his position, his unit, and every subdivision within the chain of command. A member should know to whom he is responsible and who is responsible to him. Understanding the relationships and purposes of the organization is accomplished by the distribution of organization charts, general orders and other written directives, procedural manuals, position classification and duty statements, and through other means of communication.

Lines of Authority. In an effective chain of command, communications both upward and downward should go through each succeeding and intervening rank. When communications in either direction bypass the chain of command, a breakdown of efficiency may occur because intermediate personnel are not informed about the communications and are, therefore, not responsible for its implementation. Thus, not only do communications break down, but authority and responsibility as well.

If such bypasses continue to occur over a period of time, the intermediate supervisors will eventually abdicate all responsibility, subordinates will commence to report all matters to the top commander, and administrators will become bogged down with minor details. Thus, the tendency of some administrators to avoid the "red tape" of formal methods of communications can actually cause structural breakdown. Lines of authority and channels of communication are the cords which hold the organization together. They bind organizational units and enable them to function as a team. They link the subordinate to the supervisor and the supervisor to the administrator in an unmistakable fashion. When the successive lines and channels are observed, they become in themselves a clear definition of authority and responsibility.

Authority Commensurate with Responsibility. In order to execute delegated responsibility properly, employees must be given sufficient authority to accomplish each assignment. Employees of every level of the organization should be given the authority to make decisions necessary to the effective execution of their responsibilities. Each superior officer must be held responsible for his own performance and that of the personnel assigned to him. In order to accomplish this, he must be given control over the equipment and personnel necessary to discharge his responsibilities. The ranking officer of each unit must have command over every subordinate beneath him.

Accountability for Use of Authority. The subordinate to whom authority has been delegated must be held responsible to his superior for its proper use. The need to account for the discharge of authority becomes particularly acute in police agencies because of the serious consequences of enforcement action and because of the legal responsibilities inherent in the police function. Operating personnel constantly find themselves in situations where they must make immediate decisions affecting their own safety and that of others. This makes it necessary for officers to account for the proper interpretation and application of their delegated authority. Authority, then, is more than a right or privilege. It is accompanied by an obligation to perform in a proper manner.

Span of Control. The number of individuals reporting directly to a supervisor is known as the "span of control." While this number is directly influenced by the quality of supervision, abilities of executives and subordinates, and type of work to be performed, it is generally accepted that the number of persons under the immediate control of a police supervisor should not ordinarily exceed seven or eight, particularly where the subordinates are dispersed by time and geography. Experience has shown that when this number is exceeded, the efficiency of both the supervisor and the subordinates tends to decrease.

Since the supervisor often becomes involved in problems of coordination and minor detail, he has insufficient time either to supervise effectively or to attend to the other aspects of his duties. There are sound reasons for reducing the span of control progressively as the upper levels of the organization are reached. This is because the interrelationships among higher ranking supervisors become more complex as the functions they perform become more complex. On the other hand, if the span of control is too narrow, such as one supervisor for one subordinate, the loss of efficiency can be just as obvious.

Unity of Command. This is a corollary of the concept of hierarchy, and means that each subordinate should be under the control of only one immediate supervisor. This principle also requires that each subdivision of an agency be under the direct command of one supervisor. In addition, when personnel of different subdivisions are engaged jointly in a single operation, it should be clearly stated in writing who is in command of that particular operation. An individual subject to the commands of several supervisors is very likely to receive conflicting orders. This causes confusion and inefficiency, and ultimately the subordinate may either shirk his duties entirely or may seek out a supervisor who he knows by experience will allow him to pursue the course of action he personally prefers. As a result, he may avoid taking orders from a supervisor who is more positive or efficient in the performance of his duties.

Territorial Decentralization

The decentralization of the operational functions of an organization is most commonly found where the territorial jurisdiction is large. The great expanse of territory contained within the State of Montana is an example wherein such territorial decentralization is required.

Specialization

Eventually, each chief executive must decide whether to specialize certain functions within his organization. In reaching such a decision, consideration should be given to the following factors:

- Size of the force
- Need for special skills
- Quality of personnel
- Importance of the tasks to be performed
- Quantity of work
- Interference with regular assignments

Normally, as the size of the force increases, the need for specialization also increases. Due to statutory limitations, the mission of the Montana Highway Patrol is primarily directed to the control of highway traffic; therefore, specialization is not required to the extent that is required in a state police organization which must regularly deal with criminal investigation, vice, intelligence and other such matters.

The need for a second-in-command in the absence of the unit commander is, of course, well recognized. This can be accomplished by issuing an order clearly specifying the process of succession. The commander can train his successor by permitting a selected individual to assume a position of executive authority in his absence. A system that provides several positions of assistant commander allows the commander to select his alternate on the basis of ability, interest, dedication and loyalty.

A serious hazard to the use of a permanent assistant commander is that the single assistant may accomplish tasks that are really the responsibility of the commander, he may isolate the commander from problems arising within the unit, or he may eventually begin dictating policy and in essence become the commander for all intents and purposes.

The concept of an assistant or executive officer probably comes to the police service from the military. There, combat units require an executive officer to fill in immediately for the commander who may become a casualty or who may be transferred from the command. In the police service, these reasons do not exist. In the military, the

executive officer ordinarily performs duties of an administrative nature and assists the commanding officer by serving as an aide rather than as an assistant with direct command responsibilities.

Organizational Planning

Organizational planning is a function that must be continually performed. The organizational planner must be somewhat of a philosopher, mind reader, organizer, and most of all intelligent. Management of the present and future depends upon an intellectual base because management decisions will either stand or fall upon an underpinning of social philosophy rather than the ingenuity of the individual leader.

The basic approach of organizational planning is in terms of programs and objectives, not in the terms of individual jobs. An organizational plan should not be considered an exact road to follow, but more a statement of objectives and a request of the personnel involved to use their own initiative in the obtaining of these objectives and goals. It is the responsibility of top management to establish basic philosophy which should bring about the balance and coordination necessary among subordinates on all levels. The foundation of any large-scale modern organization is simply maximum individual self-reliance within the established framework of the organization. Organizational planning delineates the goals and objectives, and hopefully establishes formal organizational frameworks from which these goals and objectives can be reached.

The major objective of organizational planning is simply to prepare the department to meet future needs. The procedure for obtaining this simple objective may be subdivided into three major steps.

- The evaluation of the present organization and the projection of this structure into the future so as to ascertain needs.
- Evaluation of present manpower allocation and distribution so as to determine the need for future manpower availability and the potential for promotion.
- The initiation of steps to develop those personnel within the organization deemed to have management and executive potential.

An organizational structure is not static in nature. The organization must be fluid, constantly examining its present structure and reacting as any growing organism. The organizational structure must be fed with new ideas, with innovations, and in many instances, with new people. Only through constant organizational planning can the major objectives and goals of the organization be met.

Jurisdiction and Authority¹

A strong state police capability has been recognized for some years as an essential element in state-local law enforcement capability. In its 1971 report on State-Local Relations in the Criminal Justice System, the Advisory Commission on Intergovernmental Relations proposed that where lacking, states consider granting the appropriate state law enforcement agency a full range of statewide law enforcement powers and removing geographic limitations on the operation of such agency. In 1972, the Committee for Economic Development, in its report on Reducing Crime and Assuring Justice, called for the expansion of state police forces, strengthened to assure proper protection for the entire population, especially in areas without effective local forces. Finally, it has become apparent that it is impossible for state government to play an effective role in criminal justice planning and coordination without centralized information and intelligence on the number and type of crimes committed in the state and on progress in the clearance of such crimes.

Pennsylvania created a department of state police in 1905; New Jersey, New York, and a few others followed suit over the next 35 years. But for most of the country, the question of a department of state police with statewide law enforcement powers has arisen in more recent years, although most states created highway patrol forces as hard surfaced roads began to be built. In several states, the evolution of a state police agency occurred through the gradual expansion of highway patrol jurisdiction.

Major duties and responsibilities of state police and highway patrol agencies have evolved to include the following: (1) in a general sense, to safeguard lives and safety of persons within the state by enforcing state laws; detecting and preventing crime, preserving order, and maintaining highway safety; (2) patrol of the interstate highway system and state primary and secondary roads originating beyond and traversing municipal boundaries; (3) provision of laboratory facilities for use by other state agencies and local law enforcement agencies; (4) acting as the central collecting agency and depository for traffic and crime data and administering a statewide uniform system for the reporting of crimes by local law enforcement agencies; (5) acting as central depository for criminal intelligence for the combat and control of organized crime within the state and coordinating the interchange of intelligence data with other states; (6) providing specialized assistance to local police, including but not limited to laboratory technicians, criminal investigators, and supplementary riot and crowd control; (7) serving as the focal point of a statewide police communications system; (8) providing general police protection to sparsely populated areas, in agreement with county and municipal governments, through a "resident trooper" or other appropriate means; and (9) conduct of training programs for local police agencies both at a state police academy and on a decentralized basis.

¹ Derived from: Advisory Commission on Intergovernmental Relations, State-Local Relations in the Criminal Justice System, Report A-38 (Washington, D. C.: Government Printing Office, August, 1971).

Although the draft legislation contained in the appendix is framed in terms of a department of state police, several states have chosen to group together those agencies concerned with fire protection, police protection, highway safety, and other similar functions into a department of public safety. The draft legislation is not intended to state any organizational preference in this respect.

In the establishment of regional commands, district barracks, and other field facilities, the state will need to consider the relationship of district police agency boundaries to those of standard substate districts (see Statewide Substate Districting Act and City-County-Metropolitan Relationships in Law Enforcement).

The following draft is based primarily on the 1968 Maryland statute (Article 88B of the state code), and in part on the Wisconsin Police Regulation Act (Ch. 165.55), the Pennsylvania Administrative Code (Ch. 71.5.250), and Connecticut's "resident trooper" program. Other comprehensive statutes include 1970 Delaware (Chs. 382 and 670) and Texas (Ch. 5, Title 70).

Section 1 sets forth the purpose of the legislation.

Section 2 includes the definition of terms commonly used in the act.

Section 3 sets forth the powers of the state law enforcement agency and of police employees thereof.

Subsection (c) deals with the powers of state police acting within municipalities having police departments and presents two alternate arrangements as bracketed language—one a somewhat circumscribed scope and the other relatively unrestricted jurisdiction.

Section 4 creates a uniform crime reporting system and mandates compliance by local law enforcement agencies.

Section 5 establishes a state crime laboratory and provides for its operation.

Section 6 establishes a statewide police communications system to serve the state law enforcement agency and the external communications needs of local law enforcement agencies.

Section 7 authorizes the establishment and operation of facilities for the training of police and civilian employees of the state law enforcement agency.

Authority is also provided for making such facilities available for the training of local law enforcement personnel.

Section 8 authorizes the director of the state law enforcement agency to provide police service and personnel to rural counties on a contractual basis.

Section 9 provides for the internal management of the state law enforcement agency.

Section 10 provides for an annual report to the governor and legislature.

Sections 11 and 12 provide for separability and effective date clauses respectively.

Future Considerations

Many state law enforcement agencies have in recent years been reorganized into Departments of Public Safety. We believe that this concept should be considered by the Montana State Legislature in future years.

We propose that the Department of Public Safety should be the 20th department of the state as authorized under the Constitutional Amendment of 1969 and Executive Reorganization Act of 1970. This new department should include the present entities of the Law Enforcement Services Division of the Department of Justice as well as the Highway Patrol Division. A staff study should also be conducted to determine if law enforcement units attached to other departments of state government should be transferred to the new Department of Public Safety. We believe that a Department of Public Safety, operating directly under the Governor, would centralize state law enforcement services and increase the efficiency and productivity of the total law enforcement effort. It would do much to insure coordination of state law enforcement services as well as consolidate and centralize law enforcement functions.

The new structure would provide a more streamlined vehicle and would eliminate duplication of effort. The consolidation would allow for centralization of many of the administrative and technical services such as planning, public relations, legal, inspections and internal affairs, training, communications, data processing, printing and photo processing, property and evidence control, automotive and facilities control, and others.

In addition, the new organization would enhance coordination and working relationships with municipal and county law enforcement agencies who now must be frustrated with the divided entities, and varied responsibilities of the different state law enforcement bureaus.

While some departments of public safety do have driver licensing and motor vehicle registrations under their jurisdiction, we believe these functions more properly belong in a separate Department of Motor Vehicles.

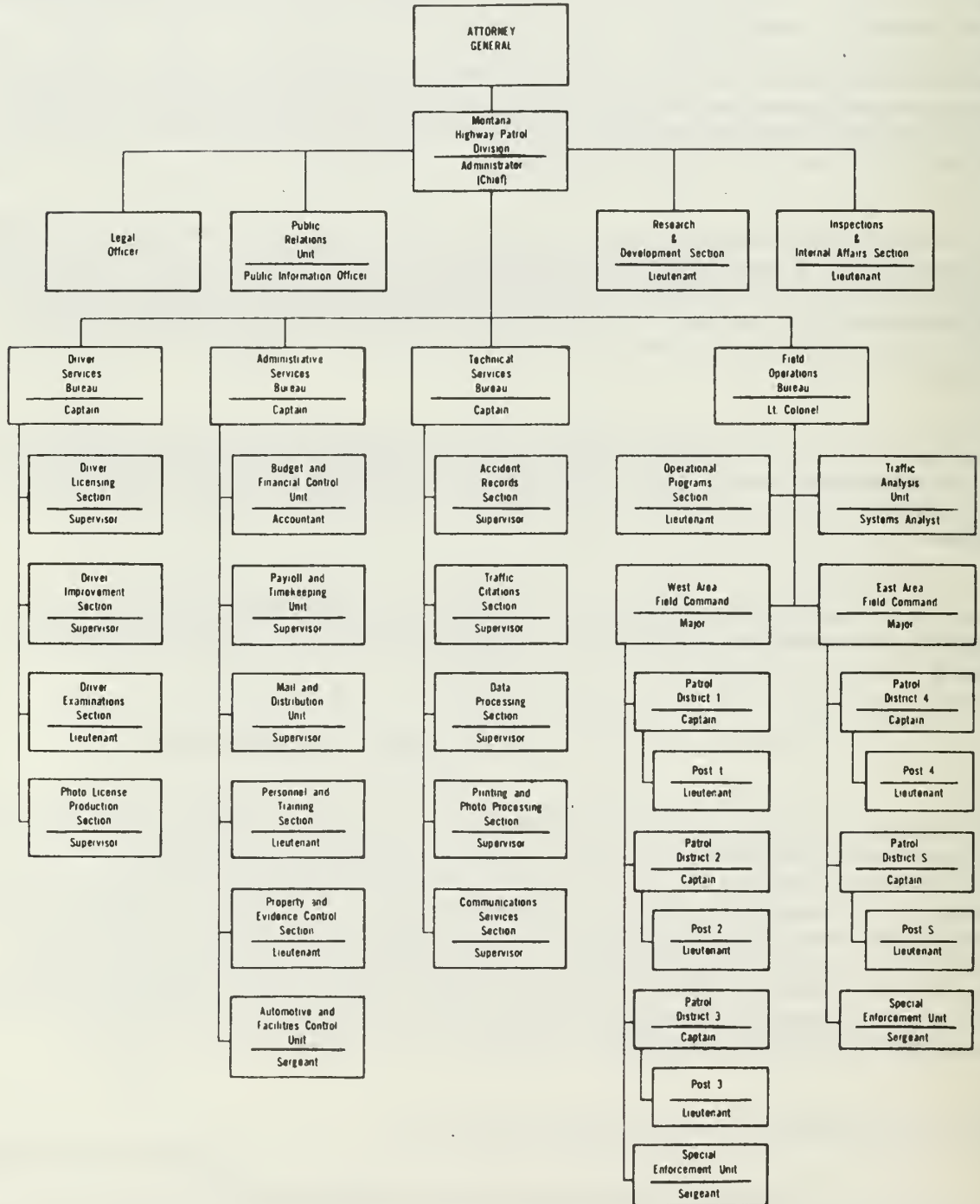
Section 3 - Proposed Interim Organization

The proposed interim organizational structure of the Montana Highway Patrol Division is illustrated in Chart 2.2. As shown on the chart, the newly recommended interim organizational design of the department provides for more logical span of control and division of responsibility. Major tasks are identified and similar and related functions are grouped under four major bureaus for the general operation of the department. In addition, four special staff sections are attached directly to the office of the chief of the Highway Patrol Division to assist him administratively in the management and control of the department. The one-to-one command relationships noted under the present organization have been eliminated.

Major organizational changes include proposals to:

- Organize the department into four major bureaus.
- Provide a more complete special staff for the chief.

CHART 2.2 PROPOSED STRUCTURAL ORGANIZATION MONTANA HIGHWAY PATROL DIVISION



- Eliminate the position of second in command throughout the department.
- Split administrative functions and driver services functions into separate entities under separate bureaus.
- Identify administrative and technical functions and separate them into separate bureaus for command control and accountability.
- Strengthen the highway safety functions of the department by the creation of a field operations bureau.
- Strengthen the field operations of the division by the creation of a west area field command and an east area field command, holding these commands responsible and accountable for standards of proficiency in the control of highway traffic throughout the state.
- Structure a public relations unit, a research and development section, and an inspections and internal affairs section directly under the chief to provide him direct assistance administratively in the management and control of the department.
- Remove the highway patrol bureau from the Motor Vehicle Division; upgrade the bureau to a division; and place the division directly under the attorney general with the chief functioning as the administrator of the division.
- Change the names of the field divisions to districts; rearrange the field command into five patrol districts; and establish a post under each district headquarters.
- Eliminate the present Accident Prevention Unit (APU); reestablish the functions of the APUnit under two new special enforcement units; and assign one special enforcement unit to the west area field command and one special enforcement unit to the east area field command.

As noted, standardized terminology has been utilized throughout the newly proposed organizational structure. Standardized terminology, when properly applied, can contribute significantly to a better understanding by department members of organizational relationships existing between the various functional units of a department and the relative level of responsibility of each specific entity. The following standardized terms will be used in subsequent discussions of the proposed organization and throughout the remainder of this report:

Standardized Terminology

Division	Montana Highway Patrol Division
Bureau	The primary functional subdivision of the division
West Area Field Command	The west geographical area of the state and a primary subdivision of the Field Operations Bureau
East Area Field Command	The east geographical area of the state and a primary subdivision of the Field Operations Bureau
District	The primary geographical subdivision of an area field command
Post	Primary subdivision of a district
Section, Office	The primary subdivision of a bureau or an office
Unit	The primary subdivision of a section. May also be used as a subdivision of a bureau or office. A unit is usually of a smaller size than a section, with personnel assigned to a specialized activity
Squad	The primary subdivision of a unit or a post. Districts and posts in the east and west area field commands are staffed with squads, each under the command of a squad sergeant.
Shift	One of several tours of duty during the 24-hour day and generally consisting of eight hours
Beat	A geographical area assigned to an individual highway patrol officer during a shift

The Proposed Structure

Chart 2.2 illustrates the results of a detailed analysis and study of all of the major functions of the Highway Patrol Bureau and a plan to group activities by function. Similar activities have been combined within four major bureaus, each under the

command of an executive responsible for the performance of one of the major tasks of the department—Driver Services, Administrative Services, Technical Services and Field Operations.

Recommendation

Adopt the proposed organization for the Montana State Highway Patrol Division as illustrated in Chart 2.2.

Office of the Chief

The four special staff entities attached to the office of the chief should provide administrative support to his office in the vital areas of administration. It is important to note that personnel assigned to these entities are designated as staff officers only, and as such, should have no command authority over any of the line functions assigned to the four major bureaus of the department.

Under the proposed structure, the four special staff entities should advise and administratively assist the chief with the direction, control, administration and coordination of the personnel and materiel resources of the department toward the accomplishment of the State Highway Patrol mission. They should provide the chief with administrative assistance in the planning of the departmental programs, for their implementation, and for controlling the results by the process of instruction and review. They should also prepare releases for the chief so that he may inform the public on the progress of the department and its plans, and so that he may gain support and understanding of his programs for the State Highway Patrol mission.

Recommendation

Adopt the proposed organization for the office of the chief of the Montana Highway Patrol Division as illustrated in Chart 2.2, and assign functions as discussed in the text of this report.

Legal Officer. The legal officer position as presently staffed with a part-time attorney should continue to exercise control and supervision over legal activities of the department. His primary functions should be to interpret statutes and court decisions and to assist the chief and other department administrators in the formulation of enforcement policies. In addition, he should work closely with the Research and Development Section and the Personnel and Training Section regarding the development of new policies, procedures, and training programs. He should also develop and maintain liaison with the legislature, prosecuting officials and court officials, and be available to provide consultative services to department personnel.

See the Management and Administration Chapter of this report for a more detailed description of the proposed functions of the legal officer.

Recommendation

Organize and staff the legal officer's position as illustrated in Chart 2.2 and assign functions to this office as discussed in the text.

Public Relations Unit. The public relations unit, commanded by a civilian public information officer, should establish systems of communication to keep members of the department and the community informed of all aspects of department activity. The public information officer should keep the chief advised of the current state of public information matters and prepare special news releases for his use. He should maintain a close liaison with representatives of the various news media and coordinate all press releases of the department.

Further details on the proposed operation of the public relations unit will be found in the Management and Administration Chapter of this report.

Recommendation

Organize and staff the Publications Relations Unit as illustrated in Chart 2.2 and assign functions as discussed in the text.

Research and Development Section. The Research and Development Section, headed by a lieutenant, should provide staff assistance to the chief in the planning process and in the formulation of departmental policies. In addition, the section should conduct long- and intermediate-range research and development projects in specific areas of administration, organizational and operational systems, methods, and techniques. The section should also be responsible for preparation of the written rules and regulations, policies and programs and their implementation.

Further details on the specific operations of the Research and Development Section will be found in the Management and Administration Chapter of this report.

Recommendation

Organize and staff the Research and Development Section as illustrated in Chart 2.2 and assign functions as discussed in the text.

Inspections and Internal Affairs Section. The Inspections and Internal Affairs Section, commanded by a lieutenant, should be responsible for conducting staff inspections concerning the condition of personnel, equipment, operations, and procedures, and investigating complaints alleging misconduct on the part of members of the force. He will keep the chief closely advised on all of these conditions on a current basis.

Further details on the specific operations of the Inspections and Internal Affairs Section will be found in the Management and Administration Chapter of this report.

Recommendation

Organize and staff the Inspections and Internal Affairs Section as illustrated in Chart 2.2 and assign functions as discussed in the text.

Driver Services Bureau

The Driver Services Bureau, commanded by a captain, should be subdivided into a Driver Licensing Section, a Driver Improvement Section, a Driver Examinations Section, and a Photo License Production Section.

This Bureau should carry out all of the driver examinations, driver licensing, and driver improvement functions as specified by Montana statute and supplemented by Montana Administrative Code and Highway Patrol Division rules and regulations.

Recommendation

Adopt the proposed organization for the Driver Services Bureau as illustrated in Chart 2.2 and assign functions as discussed in the text.

Driver Licensing Section. The Driver Licensing Section, headed by a supervisor, should continue to carry out present state driver licensing functions as specified by law.

Recommendation

Organize and staff the Driver Licensing Section as illustrated in Chart 2.2 and assign functions as discussed in the text.

Driver Improvement Section. The Driver Improvement Section, headed by a supervisor, should continue to carry out present state driver improvement functions as specified by law.

Recommendation

Organize and staff the Driver Improvement Section as illustrated in Chart 2.2 and assign functions as discussed in the text.

Driver Examinations Section. The Driver Examinations Section, headed by a lieutenant, should continue to carry out present state driver examination functions as specified by law. As will be noted in the Manpower Allocation and Distribution Chapter of this report, it has been recommended that the 21 highway patrol officers assigned to this section be replaced with 21 civilian uniformed driver examination technicians. These technicians would be provided with the necessary training required to perform this function effectively. They will be granted only that amount of highway patrol authority necessary to carry out the driver examinations functions.

Recommendation

Organize and staff the Driver Examinations Section as illustrated in Chart 2.2 and assign functions as discussed in the text.

Photo License Production Section. The Photo License Production Section, headed by a supervisor, should continue to carry out the present state photo license production functions as specified by law.

Recommendation

Organize and staff the Photo License Production Section as illustrated in Chart 2.2 and assign functions as discussed in the text.

NOTE: Under terms of the contractual agreement for this resource allocation and needs assessment study of the Highway Patrol Bureau, the driver licensing functions were withdrawn from inclusion in the study. Therefore, they are of necessity treated superficially in the Organization and Span of Control Chapter and in subsequent chapters of the report.

Administrative Services Bureau

The Administrative Services Bureau, commanded by a captain, should be subdivided into a Budget and Financial Control Unit, a Payroll and Timekeeping Unit, a Mail and

Distribution Unit, a Personnel and Training Section, a Property and Evidence Control Section, and an Automotive and Facilities Control Unit.

This Bureau should provide general administrative support services to the Highway Patrol Division as a whole.

Recommendation

Adopt the proposed organization for the Administrative Services Bureau as illustrated in Chart 2.2 and assign functions as discussed in the text.

Budget and Financial Control Unit. The Budget and Financial Control Unit, staffed with one accountant, should provide departmental staff supervision over all financial transactions of the division and keep the chief advised on a daily basis as to the status of budgeted funds. This unit will also be responsible for fiscal planning, the formulation of draft budgets for the division, and staff supervision over accounting control of the fiscal budget for the chief. The accountant will act as the intermediary between the Highway Patrol Division and the Central Services Division of the Department of Justice. In order to perform his staff function for the chief he will work closely with and maintain close coordination with personnel of the Central Services Division.

Recommendation

Organize and staff the Budget and Financial Control Unit as illustrated in Chart 2.2 and assign functions as discussed in the text.

Payroll and Timekeeping Unit. The Payroll and Timekeeping Unit, staffed with one payroll supervisor, should review all departmental personnel timekeeping and other payroll records before forwarding them to the Central Services Division of the Department of Justice for administrative processing and the issuance of pay checks. The Payroll Supervisor will act as the intermediary between the Highway Patrol Division and the Central Services Division on all matters pertaining to departmental timekeeping and payroll records. He will keep the chief advised on a daily basis as to the status of timekeeping and payroll and will be especially diligent in his review of overtime, compensatory time, sick time, leave time, and other variables which directly affect the fiscal budget and daily operations of the division.

Recommendation

Organize and staff the Payroll and Timekeeping Unit as illustrated in Chart 2.2 and assign functions as discussed in the text. ,

Mail and Distribution Unit. The Mail and Distribution Unit, staffed with one clerk typist, should receive, sort, and distribute incoming and outgoing mail for the division and perform other related duties as directed.

Recommendation

Organize and staff the Mail and Distribution Unit as illustrated in Chart 2.2 and assign functions as discussed in the text.

Personnel and Training Section. The Personnel and Training Section, headed by a lieutenant, should be responsible for the administration of the personnel management and training programs of the division.

In the area of personnel, the Personnel and Training Section should perform the multitude of miscellaneous services involved in personnel management. A primary activity of the section should be the maintenance of all personnel records (sworn and civilian). A master personnel jacket should be established and maintained for every sworn officer and civilian employee of the division with a complete record of service included therein. The section should be responsible for recruitment of all personnel, administration of personnel affairs, and administration of the performance evaluation system. In addition, it should be responsible for supervision of the promotional system, resignations, retirements, and other matters related to employee benefits. The new structure will provide the chief with much better control over all personnel functions.

In the area of training, the Personnel and Training Section should provide recruit, advanced, in-service, supervisory and specialized training to all members of the division. In addition, it should handle the details involved in sending members and employees to training programs conducted by institutions outside the division.

Recommendation

Organize and staff the Personnel and Training Section as illustrated in Chart 2.2 and assign functions as discussed in the text.

Property and Evidence Control Section. The Property and Evidence Control Section, headed by a lieutenant, should be responsible for the physical control, disbursement, and inventory of uniforms and associated equipment, office supplies, cleaning supplies, office furniture, and other specialized items of division equipment.

This section should also be responsible for staff supervision and control over all departmental firearms, ammunition and other such related equipment. Administrative duties will include the preparation of requisitions, receiving and storing of new supplies, disbursements, supervision over maintenance, and the keeping of an up-to-date inventory by location and specific assignment.

The Property and Evidence Control Section should also be responsible for the control over the headquarters evidence storage facility, and be responsible for staff supervision over the custody and control of all evidence and found property stored in the various authorized evidence storerooms of the division.

Recommendation

Organize and staff the Property and Evidence Control Section as illustrated in Chart 2.2 and assign functions as discussed in the text.

Automotive and Facilities Control Unit. The Automotive and Facilities Control Unit, headed by a sergeant, should be responsible for the physical control and maintenance of all automotive equipment and division facilities.

In the area of automotives, the unit should be responsible for staff supervision and control over all division vehicles and their related equipment including radios, radars, lightbars, sirens, etc. This should include the writing of specifications, preparation of bids and requisition orders, receipt and equipping of new vehicles, the assignment of vehicles, maintenance and repair systems for vehicles and auxiliary equipment, and other related duties.

In the area of facilities, the unit should be responsible for staff supervision and control over space assignment, use and maintenance of all facilities and grounds utilized by the Highway Patrol Division, whether owned or leased.

Recommendation

Organize and staff the Automotive and Facilities Control Unit as illustrated in Chart 2.2 and assign functions as discussed in the text.

Technical Services Bureau

The Technical Services Bureau, commanded by a captain, should be subdivided into an Accident Records Section, a Traffic Citations Section, a Data Processing Section, a Printing and Photo Processing Section and a Communications Services Section.

This Bureau should provide the Highway Patrol Division with auxiliary or technical support services to insure maximum productivity of operations.

Recommendation

Adopt the proposed organization for the Technical Services Bureau as illustrated in Chart 2.2 and assign functions as discussed in the text.

Accident Records Section. The Accident Records Section, headed by a supervisor, should during the interim continue to administer the present accident records functions of the division. Additional details will be provided in the Records Management Chapter of this report.

Recommendation

Organize and staff the Accident Records Section as illustrated in Chart 2.2 and assign functions as discussed in the text.

Traffic Citations Section. The Traffic Citations Section, headed by a supervisor, should during the interim continue to administer the present traffic summonses functions of the division. Additional details will be provided in the Records Management Chapter of this report.

Recommendation

Organize and staff the Traffic Citations Section as illustrated in Chart 2.2 and assign functions as discussed in the text.

Data Processing Section. The Data Processing Section, headed by a systems analyst (data processing manager), should be responsible for the analysis, system design, computer programming, and special software techniques used by the division. This section will keypunch and provide input to the Department of Administration, Computer Services Division, where routine and specialized programs will be run for distribution to the various subdivisions of the Highway Patrol Division. Additional details on operations and programs will be provided in the Records Management and Utilization of Computer Technology Chapters of this report.

Recommendation

Organize and staff the Data Processing Section as illustrated in Chart 2.2 and assign functions as discussed in the text.

Communications Services Section. The Communications Services Section, headed by a communications technician supervisor, should exercise staff supervision and control over all electronic communications systems utilized by the division (including field communications centers) and insure that they are operating at the maximum effectiveness. Approval for the purchase, rental, installation or alteration of all radio, telephonic and other landline types of communications equipment should be processed through this section for approval.

In addition to its general staff responsibilities over all communications systems, this section will continue to operate the headquarters communications center and will receive, process, dispatch or message-switch requests for service or information from Montana State Highway Patrol officers or other departments, whether by telephone, radio, teletype, or computer terminal and to perform other related duties as required.

Additional information will be provided in the Communications Chapter of this report.

Recommendation

Organize and staff the Communications Services Section as illustrated in Chart 2.2 and assign functions as discussed in the text.

Field Operations Bureau

The Field Operations Bureau, commanded by a lieutenant colonel, should be subdivided into an Operational Programs Section, a Traffic Analysis Unit, a West Area Field Command and an East Area Field Command.

This Bureau should carry out all of the operational law enforcement functions of the division through highway patrol services, traffic enforcement and control, accident investigation, and other specialized operational activities assigned by legislation or departmental order.

The great territorial expanse of the State of Montana and the extremely limited numbers of personnel distributed throughout the state demands that field supervision be improved and that work standards be assessed if the Highway Patrol Division is to increase its overall effectiveness throughout the state.

Further details will be provided in the Manpower Allocation and Distribution and the Uniformed Patrol Operations Chapters of this report.

Recommendation

Adopt the proposed organization for the Field Operations Bureau as illustrated in Chart 2.2 and assign functions as discussed in the text.

Operations Programs Section. The Operations Programs Section, headed by a lieutenant, should provide administrative support to the Field Operations Bureau Commander, functioning as the staff unit responsible for staff supervision, coordination, and control over the implementation of all traffic safety and accident prevention programs developed by the division or initiated through the Highway Traffic Safety Division, Department of Community Affairs.

Further details will be provided in the Uniformed Patrol Operations Chapter of this report.

Recommendation

Organize and staff the Operations Programs Section as illustrated in Chart 2.2 and assign functions as discussed in the text.

Traffic Analysis Unit. The Traffic Analysis Unit, headed by a Systems Analyst should provide administrative support to the Field Operations Bureau Commander by functioning as the staff unit responsible for the analysis of the various computer print-outs of highway patrol division operations, the identification of target areas, and the preparation of recommendations for specific types of traffic selective enforcement programs by location, date, day of week, and time of day. To perform this function, close coordination will be required between the Traffic Analysis Unit, the Operational Programs Section, the Data Processing Section, the Research and Development Section and the Highway Traffic Safety Division of the Montana Department of Community Affairs. Selective Enforcement Programs identified by this unit should be distributed by the Field Operations Bureau Commander to the west and east area field commanders for assignment to the Patrol District Commanders where they will be implemented by individual highway patrol officers and the members of the two Special Enforcement Units.

Recommendation

Organize and staff the Traffic Analysis Unit as illustrated in Chart 2.2 and assign functions as discussed in the text.

West Area Field Command. The West Area Field Command, commanded by a major and headquartered in Great Falls, should be subdivided into Patrol District 1, Patrol District 2, Patrol District 3, and a Special Enforcement Unit.

The West Area Field Command should be responsible, in general, for all operational law enforcement functions assigned to the Highway Patrol Division within the west area field command. The commander of the West Area Field Command should exercise full command authority over all uniformed highway patrol officers and civilian employees assigned to the uniformed forces in the area. He should exercise administrative supervision over all other assigned personnel working within the area.

Recommendation

Organize and staff the West Area Field Command as illustrated in Chart 2.2 and assign functions as discussed in the text.

Patrol District 1. Patrol District 1, commanded by a captain and headquartered in Missoula should be subdivided with one Post.

Patrol District 1 should be responsible for all operational law enforcement functions assigned to the Highway Patrol Division within the Patrol District 1 geographical area.

Recommendation

Organize and staff Post 1 as illustrated in Chart 2.2 and assign functions as discussed in the text.

Patrol District 2. Patrol District 2, commanded by a captain and headquartered in Butte should be subdivided with one Post.

Patrol District 2 should be responsible for all operational law enforcement functions assigned to the Highway Patrol Division within the Patrol District 2 geographical area.

Recommendation

Organize and staff Patrol District 2 as illustrated in Chart 2.2 and assign functions as discussed in the text.

Post 2. Post 2, a subdivision of Patrol District 2, headquartered in Helena and commanded by a lieutenant, should be responsible for all operational law enforcement functions assigned to the Highway Patrol Division within the Post 2 geographical area.

Recommendation

Organize and staff Post 2 as illustrated in Chart 2.2 and assign functions as discussed in the text.

Patrol District 3. Patrol District 3, commanded by a captain and headquartered in Great Falls, should be subdivided with one Post.

Patrol District 3 should be responsible for all operational law enforcement functions assigned to the Highway Patrol Division within the Patrol District 3 geographical area.

Recommendation

Organize and staff Patrol District 3 as illustrated in Chart 2.2 and assign functions as discussed in the text.

Post 3. Post 3, a subdivision of Patrol District 3, headquartered in Lewistown and commanded by a lieutenant should be responsible for all operational law enforcement functions assigned to the Highway Patrol Division within the Post 3 geographical area.

Recommendation

Organize and staff Post 3 as illustrated in Chart 2.2 and assign functions as discussed in the text.

Special Enforcement Unit. The West Special Enforcement Unit, assigned to the West Area Field Command and commanded by a sergeant, should initiate and implement traffic selective enforcement and other highway safety programs throughout the West Area Field Command as directed by the commander of the West Area Field Command. Personnel to man this unit will be temporarily assigned from field operations in a similar manner as is now employed in staffing the present Accident Prevention Unit (APU).

Recommendation

Organize and staff the West Special Enforcement Unit as illustrated in Chart 2.2 and assign functions as discussed in the text.

East Area Field Command. The East Area Field Command, commanded by a major and headquartered in Billings, should be subdivided into Patrol District 4, Patrol District 5, and a Special Enforcement Unit.

The East Area Field Command should be responsible, in general, for all operational law enforcement functions assigned to the Highway Patrol Division within the East Area Field Command. The commander of the East Area Field Command should exercise full command authority over all uniformed highway patrol officers and civilian employees assigned to the uniformed forces in the area. He should exercise administrative supervision over all other assigned personnel working within the area.

Recommendation

Organize and staff the East Area Field Command as illustrated in Chart 2.2 and assign functions as discussed in the text.

Patrol District 4. Patrol District 4, commanded by a captain and headquartered in Billings, should be subdivided with one Post.

Patrol District 4 should be responsible for all operational law enforcement functions assigned to the Highway Patrol Division within the Patrol District 4 geographical area.

Recommendation

Organize and staff Patrol District 4 as illustrated in Chart 2.2 and assign functions as discussed in the text.

Post 4. Post 4, a subdivision of Patrol District 4, headquartered in Bozeman and commanded by a lieutenant, should be responsible for all operational law enforcement functions assigned to the Highway Patrol Division within the Post 4 geographical area.

Recommendation

Organize and staff Post 4 as illustrated in Chart 2.2 and assign functions as discussed in the text.

Patrol District 5. Patrol District 5, commanded by a captain and headquartered in Glendive should be subdivided with one Post.

Patrol District 5 should be responsible for all operational law enforcement functions assigned to the Highway Patrol Division within the Patrol District 5 geographical area.

Recommendation

Organize and staff Patrol District 5 as illustrated in Chart 2.2 and assign functions as discussed in the text.

Post 5. Post 5, a subdivision of Patrol District 5 headquartered in Miles City and commanded by a lieutenant, should be responsible for all operational law enforcement functions assigned to the Highway Patrol Division within the Post 5 geographical area.

Recommendation

Organize and staff Post 5 as illustrated in Chart 2.2 and assign functions as discussed in the text.

Special Enforcement Unit. The East Special Enforcement Unit, assigned to the East Area Field Command and commanded by a sergeant, should initiate and implement traffic selective enforcement and other highway safety programs throughout the East Area Field Command as directed by the commander of the East Area Field Command. Personnel to man this unit will be temporarily assigned from other field operation positions in a similar manner as is now employed in staffing the present Accident Prevention Unit (APU).

Recommendation

Organize and staff the East Special Enforcement Unit as illustrated in Chart 2.2 and assign functions as discussed in the text.

III

MANPOWER ALLOCATION AND DISTRIBUTION

In order to estimate the manpower needed in a highway patrol agency, and to determine the best possible distribution, the chief administrator is compelled to make certain assumptions. For instance he must assume that a given amount of time spent in patrol on the highways will achieve a certain degree of traffic regulation compliance. This is difficult to achieve, since traffic violations which are prevented and do not occur cannot be counted. Also, the chief administrator must assume, for tabulation and statistical purposes, that all highway patrol officers perform equally well and at the same level of proficiency. Although this is obviously untrue, there is no way to evaluate mathematical differences in attitude, training, ambition or ability.

The inadequate distribution of resources is a great problem in itself, and one that affects a great many police agencies—perhaps a substantial majority of them. It is very common to find that a department has simply distributed manpower equally among the shifts in order to facilitate shift rotation. This practice is widespread even though most departments can demonstrate a level of activity on the afternoon shift which is roughly twice as high as the midnight shift. Distribution according to workload by day of week is similarly ignored, either because of the lack of adequate measurement or simply to equalize the number of nights off for every day of the week, even though the workload is typically twice as high on Friday and Saturday evenings as it is for comparable periods on Tuesday and Wednesday.

Patrol beat boundaries are often determined by pure estimates, or by arbitrarily dividing an area map into a number of beats of approximately equal size. In this situation, some officers are vastly overworked on some beats on some shifts, while others are bored with idleness.

Since the primary functions of a Highway Patrol agency are performed by uniformed officers, the field patrol force must be accorded priority in both staffing and equipment. This the chief of the Highway Patrol Bureau has done; however, the total enforcement manpower spread throughout the state is still extremely short and the staff manpower needed to effectively administer the headquarters command function is critical which in turn compounds the problem. See Table 3.1 which illustrates the present personnel authorization and distribution of the Montana Highway Patrol Bureau.

**TABLE 3.1
PRESENT PERSONNEL AUTHORIZATION
MONTANA HIGHWAY PATROL BUREAU**

	CHIEF	LT. COLONEL	MAJOR	CAPTAIN	LIEUTENANT	SERGEANT	HIGHWAY PATROL OFFICER	TOTAL	LEGAL OFFICER	SYSTEMS ANALYST	GRAPHIC REPRODUCTION SUPERVISOR	STATISTICAL TECHNICIAN	ADMINISTRATIVE SECRETARY	CLERK SUPERVISOR	SECRETARY	RADIO DISPATCHER	CONTROL TECHNICIAN DATA PROCESSING	STOCK CLERK	OFFSET DUPLICATING OPERATOR	ACCOUNTING CLERK	ADMINISTRATIVE CLERK	CLERK TYPIST	RECEPTIONIST	VIDEO DATA TERMINAL OPERATOR	GENERAL OFFICE CLERK	KEY PUNCH OPERATOR	RECRUIT TRAINEE	TOTAL	GRAND TOTAL
OFFICE OF THE CHIEF	1						1	1				1																2	3
ASSISTANT CHIEF		1					1							1														1	2
PERSONNEL & TRAINING				1			1																		3	3		4	
PUBLIC SAFETY & INFORMATION				1			1																1					1	2
STATE APU					1		1																						1
DRIVER LICENSE SECTION													1								4			21	1		27	27	
DRIVER IMPROVEMENT SECTION													1								3			1			5	5	
SUMMONS SECTION													1											3			4	4	
DATA PROCESSING ENTRY SECTION									1							1							1	7		10	10		
COMMUNICATIONS															5							1					6	6	
ACCIDENT RECORDS											1										1			2			4	4	
PROPERTY & SUPPLIES					1		1										1	1		1							3	4	
PRINTING DEPARTMENT										1							1			1							2	2	
DIVISION I (MISSOULA)			1	1	5	34	41								1						1						2	43	
DIVISION II (GREAT FALLS)			1	1	5	29	36								1						1						2	38	
DIVISION III (LEWISTOWN)			1	1	2	14	18														1						1	19	
DIVISION IV (GLENDALE)			1	1	3	19	24														1						1	25	
DIVISION V (BUTTE)			1	1	4	27	33								1						1						2	35	
DIVISION VI (BILLINGS)			1	1	5	29	36								1						1			1			3	39	
DIVISION VII (DRIVER EXAMINATION SECTION)		1		1	3	21	26						1								13						14	40	
TOTAL	1	1	1	8	8	28	173	220	1	1	1	1	3	2	9	1	1	1	1	6	22	1	1	29	8	3	93	313	

Present Patrol Manpower Deployment

The Highway Patrol operations in Montana are decentralized throughout six field divisions which are manned with 24 sergeant districts. The districts vary in number from 2 to 5 in each division and the Highway Patrol officers assigned to sergeant districts vary from 5 to 9 in number. Counties vary from 7 in Division 1 to 11 in Division 4 and 11 in Division 6. Total square miles varies from 19,339 in Division 1 to 31,377 square miles in Division 6. Total miles of roadways vary from 9,162 miles in Division 5 to 15,740 miles in Division 4.

See Table 3.2 for details on counties, population, and square miles contained in each of the present six field divisions of the Montana Highway Patrol Bureau.

See Table 3.3 for details on roadway systems mileage contained in each of the present six field divisions of the Montana Highway Patrol Bureau.

In general, Highway Patrol officers are assigned to one-man patrol vehicles. Shifts vary according to the number of personnel assigned to each sergeant district but generally follow the pattern of:

8:00 am - 5:00 pm
 9:00 am - 6:00 pm
 1:00 pm - 10:00 pm
 3:00 pm - 12 Midnight
 6:00 pm - 3:00 am

Each district is commanded by a sergeant; however, field supervision is sparse due to the vast distribution of personnel assigned to each district and the heavy load of administrative paperwork required of each sergeant.

The present system of patrol manpower distribution has generally been in existence for a number of years with slight variations. Additional assignments of highway patrol officers to various districts have been established mainly based on experience and operational statistics.

A Scientific Approach to Manpower Allocation and Distribution

In a study of uniformed patrol needs and deployment, the question of how to determine the size of a force is of paramount importance. First, we must determine how many officers are necessary to staff the uniformed patrol force. To do this effectively, we must know the amount and type of police workload by time and place of occurrence. Demands for police service occur in fairly systematic and predictable patterns over an extended period of time, and rather accurate predictions for future requirements can be made on the basis of recorded calls for police service. The major objective is to give a proportionate share of the total work to each patrol beat.

TABLE 3.2PRESENT COUNTY POPULATION AND SQUARE MILE
MAKEUP OF HIGHWAY PATROL FIELD DIVISIONSDIVISION 1 (Missoula)

<u>Counties</u>	<u>1976 (Provisional)</u>	<u>1970 (Census)</u>	<u>Square Miles</u>
Ravalli	18,500	14,409	2,382
Missoula	65,500	58,263	2,612
Mineral	3,500	2,958	1,222
Sanders	8,000	7,093	2,778
Lake	17,400	14,445	1,494
Flathead	45,400	39,460	5,137
Lincoln	<u>16,400</u>	<u>18,063</u>	<u>3,174</u>
	174,700	154,691	19,339

Total 7 Counties

DIVISION 2 (Great Falls)

<u>Counties</u>	<u>1976 (Provisional)</u>	<u>1970 (Census)</u>	<u>Square Miles</u>
Broadwater	3,100	2,526	1,193
Jefferson	6,900	5,238	1,652
Lewis & Clark	38,000	33,281	3,476
Cascade	83,600	81,804	2,661
Chouteau	6,200	6,473	3,927
Teton	6,100	6,116	2,294
Pondera	7,000	6,611	1,645
Toole	5,300	5,839	1,950
Glacier	<u>10,900</u>	<u>10,783</u>	<u>2,964</u>
	167,100	158,671	21,762

Total 9 Counties

TABLE 3.2 (Continued)

DIVISION 3 (Lewistown)

<u>Counties</u>	<u>1976 (Provisional)</u>	<u>1970 (Census)</u>	<u>Square Miles</u>
Musselshell	4,400	3,734	1,887
Golden Valley	1,000	931	1,176
Wheatland	2,500	2,529	1,420
Petroleum	700	675	1,655
Fergus	13,000	12,611	4,242
Judith Basin	2,700	2,667	1,880
Blaine	7,400	6,727	4,275
Hill	18,100	17,358	2,927
Liberty	<u>2,500</u>	<u>2,359</u>	<u>1,439</u>
	52,300	49,591	20,901
Total	9 Counties		

TABLE 3.2 (Continued)DIVISION 4 (Glendive)

<u>Counties</u>	<u>1976 (Provisional)</u>	<u>1970 (Census)</u>	<u>Square Miles</u>
Sheridan	5,500	5,779	1,694
Daniels	3,200	3,083	1,443
Roosevelt	10,500	10,365	2,385
Richland	10,300	9,837	2,079
Wibaux	1,500	1,465	890
Prairie	1,700	1,752	1,730
Garfield	1,800	1,796	4,455
Valley	13,400	11,471	4,974
Phillips	5,500	5,386	5,213
Dawson	11,200	11,269	2,370
McCone	<u>2,700</u>	<u>2,875</u>	<u>2,607</u>
	67,300	65,078	29,840

Total 11 Counties

TABLE 3.2 (Continued)DIVISION 5 (Butte)

<u>Counties</u>	1976 <u>(Provisional)</u>	1970 <u>(Census)</u>	<u>Square Miles</u>
Park	12,600	11,197	2,626
Gallatin	37,400	32,505	2,517
Madison	5,400	5,014	3,528
Beaverhead	8,200	8,187	5,551
Silver Bow	41,100	41,981	715
Deer Lodge	14,600	15,652	740
Granite	2,700	2,737	1,733
Powell	7,600	6,660	2,336
Meagher	<u>2,200</u>	<u>2,122</u>	<u>2,354</u>
	131,800	126,055	22,100
Total 9 Counties			
1 Yellow- stone Park	<u>100</u>	<u>64</u>	<u>269</u>
	131,900	126,119	22,369

TABLE 3.2 (Continued)DIVISION 6 (Billings)

<u>Counties</u>	<u>1976 (Provisional)</u>	<u>1970 (Census)</u>	<u>Square Miles</u>
Fallon	3,900	4,050	1,633
Carter	1,800	1,956	3,313
Powder River	2,500	2,862	3,288
Custer	13,000	12,174	3,756
Rosebud	9,900	6,032	5,037
Treasure	1,300	1,069	985
Big Horn	10,600	10,057	5,023
Yellowstone	99,600	87,367	2,642
Carbon	8,300	7,080	2,066
Stillwater	5,200	4,632	1,794
Sweet Grass	<u>3,200</u>	<u>2,980</u>	<u>1,840</u>
	159,300	140,259	31,377
Total 11 Counties			
GRAND TOTAL			
<u>56 Counties</u>	<u>752,600</u>	<u>694,409</u>	<u>145,588</u>
6 Division Average <u>9.+</u> counties	<u>125,433</u>	<u>115,735</u>	<u>24,265</u>

TABLE 3.3

PRESENT ROADWAY SYSTEMS MILEAGE IN
HIGHWAY PATROL FIELD DIVISIONS

<u>Division 1</u>	<u>Interstate and U. S. Highways</u>	<u>State Highways</u>	<u>County Roads</u>	<u>(Municipal) Local Streets</u>	<u>Total All Systems</u>
Ravalli	74.717	59.312	1246.720	35.832	1416.581
Missoula	200.269	43.001	1451.570	174.771	1869.611
Mineral	83.107	5.928	879.940	19.556	988.531
Sanders	176.484	76.890	1394.800	27.441	1675.615
Lake	146.711	45.760	1075.300	46.789	1314.560
Flathead	223.587	118.400	1922.080	101.633	2365.700
Lincoln	<u>191.541</u>	<u>81.784</u>	<u>1686.990</u>	<u>41.662</u>	<u>2001.977</u>
Total 7 Counties	1096.416	431.075	9657.400	447.684	11632.575
<u>Division 2</u>	<u>Interstate and U. S. Highways</u>	<u>State Highways</u>	<u>County Roads</u>	<u>(Municipal) Local Streets</u>	<u>Total All Systems</u>
Broadwater	85.306	45.477	789.721	16.673	937.177
Jefferson	163.875	8.027	774.830	23.019	969.751
Lewis & Clark	164.585	129.457	1182.930	171.594	1648.566
Cascade	182.721	114.004	1449.990	287.940	2034.655
Chouteau	116.748	191.057	2693.671	33.597	3035.073
Teton	87.860	114.299	1434.280	30.404	1666.843
Pondera	82.577	111.859	1111.550	33.935	1339.921
Toole	86.441	154.564	1245.930	34.907	1521.842
Glacier	<u>135.833</u>	<u>132.884</u>	<u>810.250</u>	<u>26.932</u>	<u>1105.899</u>
Total 9 Counties	1105.946	1001.628	11493.152	659.001	14259.727

TABLE 3.3 (Continued)

<u>Division 3</u>	<u>Interstate and U. S. Highways</u>	<u>State Highways</u>	<u>County Roads</u>	<u>(Municipal) Local Streets</u>	<u>Total All Systems</u>
Musselshell	95.910	41.821	803.620	25.977	967.328
Golden Valley	39.659	49.567	572.780	10.474	672.480
Wheatland	78.137	38.171	534.340	17.576	668.224
Petroleum	38.826	45.436	606.980	7.411	698.653
Fergus	225.530	97.418	1639.380	61.316	2023.644
Judith Basin	76.562	59.831	1041.440	11.987	1189.820
Blaine	93.303	129.765	2176.120	23.154	2422.342
Hill	78.206	147.674	3106.120	57.078	3389.078
Liberty	<u>24.690</u>	<u>116.370</u>	<u>1085.490</u>	<u>10.310</u>	<u>1236.860</u>
Total 9 Counties	750.823	726.053	11566.270	225.283	13268.429

TABLE 3.3 (Continued)

<u>Division 4</u>	<u>Interstate and U. S. Highways</u>	<u>State Highways</u>	<u>County Roads</u>	(Municipal) <u>Local Streets</u>	<u>Total All Systems</u>
Sheridan	91.477	64.631	1296.050	31.545	1483.703
Daniels	46.970	66.691	907.920	16.951	1038.532
Roosevelt	143.426	165.035	1456.480	46.884	1811.825
Richland	117.947	98.537	1180.810	40.093	1437.387
Wibaux	39.008	53.733	567.800	12.223	672.764
Prairie	28.223	68.852	688.810	10.791	796.676
Garfield	135.175	122.191	1098.650	6.851	1362.867
Valley	169.322	102.100	1957.750	41.868	2271.040
Phillips	132.096	88.061	1714.820	32.909	1967.886
Dawson	128.743	109.380	1008.610	36.608	1283.341
Mc Cone	<u>148.940</u>	<u>84.291</u>	<u>1657.590</u>	<u>20.207</u>	<u>1911.028</u>
Total 11 Counties	1181.327	1023.502	13535.290	296.930	16037.049

TABLE 3.3 (Continued)

<u>Division 5</u>	<u>Interstate and U. S. Highways</u>	<u>State Highways</u>	<u>County Roads</u>	<u>(Municipal) Local Streets</u>	<u>Total All Systems</u>
Park	140.913	50.634	806.930	42.201	1040.678
Gallatin	218.933	108.284	1262.700	146.226	1736.143
Madison	179.660	106.607	1104.890	14.105	1405.262
Beaverhead	156.227	131.364	1374.030	33.246	1694.867
Silver Bow	74.851	23.417	396.970	115.163	610.401
Deer Lodge	59.750	39.835	234.620	24.049	358.254
Granite	63.612	33.614	643.100	14.158	754.484
Powell	124.144	15.092	958.750	25.458	1123.444
Meagher	<u>100.719</u>	<u>47.889</u>	<u>704.360</u>	<u>15.192</u>	<u>868.160</u>
Total 9 Counties	1118.809	556.736	7486.350	429.798	9591.693

TABLE 3.3 (Continued)

<u>Division 6</u>	<u>Interstate and U. S. Highways</u>	<u>State Highways</u>	<u>County Roads</u>	<u>(Municipal) Local Streets</u>	<u>Total All Systems</u>
Fallon	83.115	70.928	754.430	23.502	931.975
Carter	49.994	126.626	710.860	7.397	894.877
Powder River	119.096	86.541	944.320	7.853	1157.810
Custer	161.064	56.903	894.550	69.953	1182.470
Rosebud	199.308	114.009	1387.300	20.183	1720.800
Treasure	28.697	44.304	338.050	3.900	414.951
Big Horn	141.750	164.978	1244.510	27.432	1578.670
Yellowstone	156.134	90.180	1512.850	344.464	2103.628
Carbon	149.284	22.989	847.500	40.300	1060.073
Stillwater	60.268	64.561	862.760	15.685	1003.274
Sweet Grass	<u>64.232</u>	<u>40.052</u>	<u>549.300</u>	<u>16.282</u>	<u>669.866</u>
Total 11 Counties	1212.942	882.071	10046.430	576.951	12718.394
Grand Total 56 Counties	6466.263	4621.065	63784.892	2635.647	77507.867
6 Division Average 9. + Counties	1077.7105	770.1775	10630.815	439.2745	12917.977

From the workload pattern, we must determine how many patrol beats are required for each shift. The number will vary from shift to shift since police workloads seldom occur in equal proportions by shift. Similarly, individual beat configurations should be structured so that each beat will have a proportionate share of the total workload. Once the number of beat configurations is known, manpower can be assigned in sufficient quantities to staff the beats. This coverage cannot be provided by the simple expedient of assigning one man for each beat. Consideration must be given to the extent of the demands for service and to days off, vacations, holidays, training and other activities which detract from an officer's productive patrol time.

The patrol manpower distribution system utilized by the IACP receives these considerations. Manpower deployment is based on the careful analysis of the immediate past workload experience since this is the best way to predict future demands. A prerequisite for this type of analysis is the accurate reporting and recording of every request for service. This includes crimes, traffic accidents, aided or assisted cases, miscellaneous incidents, and other services provided by the department.

Unfortunately, the IACP system described above cannot be applied to the Montana Highway Patrol Bureau due to the lack of complete workload data in readily retrievable form, the extreme sparsity of personnel distributed throughout the state, the lack of specific beat boundaries and the lack of self-sufficiency in communications.

In order for the newly proposed Highway Patrol Division to develop an effective scientific manpower allocation and distribution system it must first initiate a recording system wherein every call-for-service is recorded and issued a complaint control number.

The major requirement of any source document for a manpower study is that it accurately reflects the workload of the department, including the many hours of work performed by the patrol force in such activities as answering calls for service, making field contacts, making arrests, and handling traffic accidents. The IACP has determined that the radio dispatch complaint control card, which is completed for every request for police service, is the best type of source document for this purpose. Complaint control cards contain data regarding the date and time of the call for service, the location of occurrence, and the nature of the incident. Arrest records are used to obtain arrest data.

Copies of a Complaint Control Card and the recommended IACP Manpower Allocation and Distribution System are included in the Records Management Chapter and the appendix to this report. We propose that the Division change its complaint recording system, that every complaint received be assigned a sequential complaint control number and after gathering one year of complete workload statistics that an accurate manpower allocation and distribution study be performed. The IACP system, although developed primarily for municipal and county agencies, is readily adaptable to a state organization if separate studies are made of manageable geographical sections of the state. These studies require, of course, that the state be subdivided into permanent reporting areas such as census tracts which can be used for workload measurement purposes.

Although highway patrol officers submit an officers daily report, entries recorded are too generalized to be useful in compiling statistics for a manpower allocation and distribution study, and in addition the daily report allows considerable discretion on the part of the officer as to the entries recorded. Considerable discretion on the part of the officer as to the entries recorded. Considerable discretion is left to the officer who receives a call or covers an on-view incident as to whether or not the complaint is recorded in writing, how it is classified, whether or not it is referred to another agency, etc. In addition, no input is received on highway patrol calls for service which are received by county sheriffs' departments throughout the state during those hours when highway patrol offices are closed or their communication centers are out of operation. This is a most serious deficiency as far as total workload accounting is concerned. The Montana Highway Patrol Division must strive for self-sufficiency in complaint recording and communications as soon as possible. A new type of daily report form is being proposed and will be discussed in the Uniformed Patrol Operations Chapter of this report.

Goals and Standards Pertaining to Personnel Distribution

In order to put this part of the report into proper perspective, it is necessary to make reference to certain standards contained in the Report on Police which is one of the six reports of the National Advisory Commission on Criminal Justice Standards and Goals, published January 23, 1973. The standards appearing in the Report on Police are based on programs and projects already in operation, and in these cases the standards are supported with empirical data and examples. The Commission recommends specific guidelines for evaluating existing practices or for setting up new programs.

Standard 8.3 titled "Deployment of Patrol Officers" has a direct relationship to the subject under discussion and therefore should be considered in our analysis:

"Every police agency immediately should develop a patrol deployment system that is responsive to the demands for police services and consistent with the effective use of the agency's patrol personnel. The deployment system should include collecting and analyzing required data, conducting a workload study, and allocating personnel to patrol assignments within the agency.

1. Every police agency should establish a system for the collection and analysis of patrol deployment data according to area and time.
 - a. A census tract, reporting area, or permanent grid system should be developed to determine geographical distribution data; and
 - b. Seasonal, daily and hourly variations should be considered in determining chronological distribution of data.

2. Every police agency should conduct a comprehensive workload study to determine the nature and volume of the demands for police service and the time expended on all activities performed by patrol personnel.

The workload study should be the first step in developing a deployment data base and should be conducted at least annually thereafter. Information obtained from the workload study should be used:

- a. To develop operational objectives for patrol personnel;
 - b. To establish priorities on the types of activities to be performed by patrol personnel; and
 - c. To measure the efficiency and effectiveness of the patrol operation in achieving agency goals.
3. Every police agency should implement an allocation system for the geographical and chronological proportionate need distribution of patrol personnel. The allocation system should emphasize agency efforts to reduce crime, increase criminal apprehensions, minimize response time to calls for services, and equalize patrol personnel workload. This system should provide for the allocation of personnel to:
 - a. Divisions or precincts in those agencies which are geographically decentralized;
 - b. Shifts;
 - c. Days of the week;
 - d. Beats; and
 - e. Fixed-post and relief assignments.
 4. Every police agency should establish procedures for the implementation, operation and periodic evaluation and revision of the agency's deployment system. These procedures should include provisions to ensure the active participation and willing cooperation of all agency personnel."

Comparative Analysis of Field Forces

The object of any geographic distribution system must be to place the available patrol field force throughout the state in such a way as to equalize the workload assigned to each beat within each post and district and to minimize the response time to each call for service. As stated earlier, the IACP scientific manpower allocation system

cannot be utilized until certain changes in the complaint recording system have been effected and a one-year accumulation of workload data has been tabulated. In the interim, however, some changes can be effected in the geographical boundaries of field forces so as to more evenly equalize the workload and provide more effective use of highway patrol officers, civilian support personnel and supervisors.

Table 3.4 is a comparative analysis of available operational data of the present field divisions of the Montana Highway Patrol Bureau. As noted in the table, there are fairly significant variations in nearly all listed categories. Close examination of the figures, however, tends to indicate that division boundaries in terms of total square miles and total roadway systems, have a more equal relationship than other categories.

The workload in terms of miles traveled, arrests made, accidents investigated, other contacts, and total contacts varies considerably among the six field divisions and is not always consistent in terms of the number of personnel assigned. For example:

1. Division 4 (Glendive) with 19 officers assigned, averaged more miles per officer and more arrests per officer, equaled Division 1's average warnings issued per officer, led with other average contacts per officer, and led with more average total contacts per officer than any other division.
2. Division 6 (Billings) with 29 officers was above average per officer in miles, arrests, warnings, accidents investigated, other contacts, and total contacts.
3. Division 3 (Lewistown) with 14 officers was above average per officer in miles and arrests and was average per officer in contacts. Division 3 was below average per officer in warnings, other contacts, and total contacts.
4. Division 1 (Missoula) with 34 officers averaged slightly more warnings per officer and more accidents investigated per officer than the other divisions.
5. Division 5 (Butte) with 27 officers was below the total average per officer in all categories with the exception of miles traveled.
6. Division 2 (Great Falls) with 29 officers was below total average per officer in all categories except accidents investigated (66 to 66) where it met the average for all officers statewide.

TABLE 3.4
**COMPARATIVE ANALYSIS OF OPERATIONS
 OF PRESENT FIELD DIVISIONS
 MONTANA HIGHWAY PATROL BUREAU**

	1978 POP.	TOTAL SQ. MI.	INTERSTATE & HIGHWAYS	STATE HIGHWAY	COUNTY ROADS.	TOTAL RURAL	TOTAL MUNICIPAL	TOTAL ALL SYSTEMS	SERGEANTS	HIGHWAY PATROL OFFICERS	CIVILIANS	PATROL CARS	RADAR UNITS	1977 ANNUAL REPORT FIGURES					
														MILES	ARRESTS	WARNINGS	ACCIDENTS IN VEST.	OTHER CONTACTS	TOTAL CONTACTS
DIVISION 1. (MISSOULA)	(174,700)	19,339	1,086	431	9,657	11,184	448	11,632	5	(34)	2	(42)	(30)	1,222,267 (35,946)	19,370 (570)	23,982 (705)	3,106 (91)	20,223 (595)	66,781 (1,916)
DIVISION 2. (GREAT FALLS)	167,100	21,762	1,106	1,002	11,483	13,601	(659)	14,260	5	29	2	38	29	1,129,380 (38,944)	17,284 (596)	14,975 (515)	1,902 (66)	13,269 (458)	47,380 (1,634)
DIVISION 3. (LEWISTOWN)	52,300	20,901	751	726	11,566	13,043	225	13,268	2	14	1	20	16	578,210 (41,301)	9,831 (702)	8,705 (622)	730 (52)	7,741 (553)	27,007 (1,929)
DIVISION 4. (GLENDALE)	67,300	29,840	1,181	(1,024)	(13,535)	(15,740)	297	(16,037)	3	19	2	26	21	889,330 (46,807)	18,828 (591)	13,385 (704)	668 (35)	12,299 (647)	45,180 (2,378)
DIVISION 5. (BUTTE)	131,900	22,369	1,119	557	7,486	9,162	430	9,592	4	27	2	35	28	1,138,684 (42,173)	17,983 (663)	14,830 (549)	1,567 (56)	13,100 (485)	47,400 (1,756)
DIVISION 6. (BILLINGS)	159,300	(31,377)	(1,213)	882	10,046	11,940	577	12,718	5	29	3	38	29	1,201,863 (41,444)	23,002 (793)	19,059 (657)	2,133 (74)	17,463 (603)	61,677 (2,127)
TOTAL	752,600	145,588	6,466	4,622	63,783	74,670	2,636	77,507	24	152	12	199	153	6,159,734 (40,525)	106,218 (689)	94,886 (624)	10,106 (66)	84,115 (553)	295,325 (1,943)

NOTE: Figures contained in () above denote averages per officer assigned.

Interim Proposed Boundary Adjustments

The IACP staff carefully analyzed the comparative data for the present six field divisions as contained in Table 3.4, in addition to other operational reports, and concluded from an evaluation of all the data, that the following reorganizational changes should be made. Table 3.5 shows the proposed area field commands and field districts. See Map 3.1 for visual representation of proposed field districts.

Analysis also concluded that there is great need to establish "Standards of Output" to increase the operating efficiency of the department as a whole. The implementation of such standards, which in reality are goals and objectives, will require considerable strengthening of the command and supervisory structure of the field forces. This has been achieved in our proposed structural organization of the division.

Manpower Requirements and Allocation Model

The essence of force distribution in time and space is simply to have the resources designated to carry out field missions and tasks at or near the expected location, and at or near the expected time the requirement to act arises. This is true regardless of the task or mission—preventive actions, investigative actions, enforcement actions, and control and service actions all have critical time-space coordinates and all may be more or less predicted.

In 1969, the IACP conducted a research project addressing police traffic responsibilities under a grant from the U. S. Department of Transportation.¹ The report contains an analysis of research efforts made toward identifying methods to be employed in determining manpower needs in terms of traffic enforcement and highway safety. The general manpower requirements model utilizes as factors, billions of vehicle miles and traffic density (average daily traffic). According to the model produced in the study, factors are measurable quantities which at the very least will produce figures within 15 percent of traffic manpower requirements. The same factors should be the criteria for decisions relating to force distribution.

From a review of the case studies contained in the report, it appears very likely that state highway patrol agencies should allocate their resources with respect to the services they provide and the daily traffic they experience.

Table 3.6 of this report lists quantitative measures of the traffic services and performance for given manpower allocations as produced in the model. The users of this model, accepting the listed services as a constant standard, must multiply the allocation quantities in man-years by the number of billions or fractions of billions of motor vehicle miles of travel in their district to obtain the manpower allocation appropriate for their district.

¹Research Division, Police Traffic Responsibilities (International Association of Chiefs of Police, July 1969). Prepared for the U. S. Department of Transportation, Federal Highway Administration, National Highway Safety Bureau, under Grant F 11-6934.

TABLE 3.5

PROPOSED AREA FIELD COMMANDS AND FIELD DISTRICTS
MONTANA HIGHWAY PATROL DIVISION

WEST AREA FIELD COMMAND

<u>District 1</u>	<u>1976 (Provisional) Population</u>	<u>Square Miles</u>
Lincoln	16,400	3,714
Flathead	45,400	5,137
Sanders	8,000	2,778
Lake	17,400	1,494
Mineral	3,500	1,222
Missoula	65,500	2,612
Rovalli	<u>18,500</u>	<u>2,382</u>
Total 7 Counties	174,700	19,339
<u>District 2</u>		
Powell	7,600	2,336
Lewis and Clark	38,000	3,476
Broadwater	3,100	1,193
Jefferson	6,900	1,652
Deer Lodge	14,600	740
Silver Bow	41,100	715
Granite	2,700	1,733
Beaverhead	8,200	5,551
Madison	<u>5,400</u>	<u>3,528</u>
Total 9 Counties	127,600	20,924

TABLE 3.5 (Continued)

<u>District 3</u>	1976 (Provisional) <u>Population</u>	<u>Square Miles</u>
Glacier	10,900	2,964
Toole	5,300	1,950
Liberty	2,500	1,439
Hill	18,100	2,927
Blaine	7,400	4,275
Chouteau	6,200	3,927
Pondera	7,000	1,645
Teton	6,100	2,294
Cascade	83,600	2,661
Judith Bosin	2,700	1,880
Fergus	13,000	4,242
Petroleum	700	1,655
Musselshell	4,400	1,887
Golden Valley	1,000	1,176
Wheatland	2,500	1,420
Meagher	2,200	2,354
Total 16 Counties	173,600	38,696
Grand Total—32 Counties (West Area Field Command)	475,900	78,959

EAST AREA FIELD COMMAND

<u>District 4</u>		
Gallatin	37,400	2,517
Park	12,600	2,626
Sweet Grass	3,200	1,840
Stillwater	5,200	1,794
Yellowstone	99,600	2,642
Big Horn	10,600	5,023
Carbon	8,300	2,066
Total 7 Counties	176,900	18,508
1 Yellowstone Park	100	269
	<u>177,000</u>	<u>18,777</u>

TABLE 3.5 (Continued)

EAST AREA FIELD COMMAND

<u>District 5</u>	<u>1976 (Provisional) Population</u>	<u>Square Miles</u>
Phillips	5,500	5,213
Valley	13,400	4,974
Daniels	3,200	1,443
Sheridan	5,500	1,694
Roosevelt	10,500	2,385
Richland	10,300	2,079
Dawson	11,200	2,370
Mc Cone	2,700	2,607
Garfield	1,800	4,455
Treasure	1,300	985
Rosebud	9,900	5,037
Prairie	1,700	1,730
Custer	13,000	3,756
Wibaux	1,500	890
Fallon	3,900	1,633
Carter	1,800	3,313
Powder River	<u>2,500</u>	<u>3,288</u>
Total 17 Counties	99,700	47,852
Grand Total—24 Counties (East Area Field Command)	276,700	66,629
Grand Total—56 Counties (State of Montana)	752,600	145,588

MAP 3.1
Proposed Map Boundaries of Field Districts

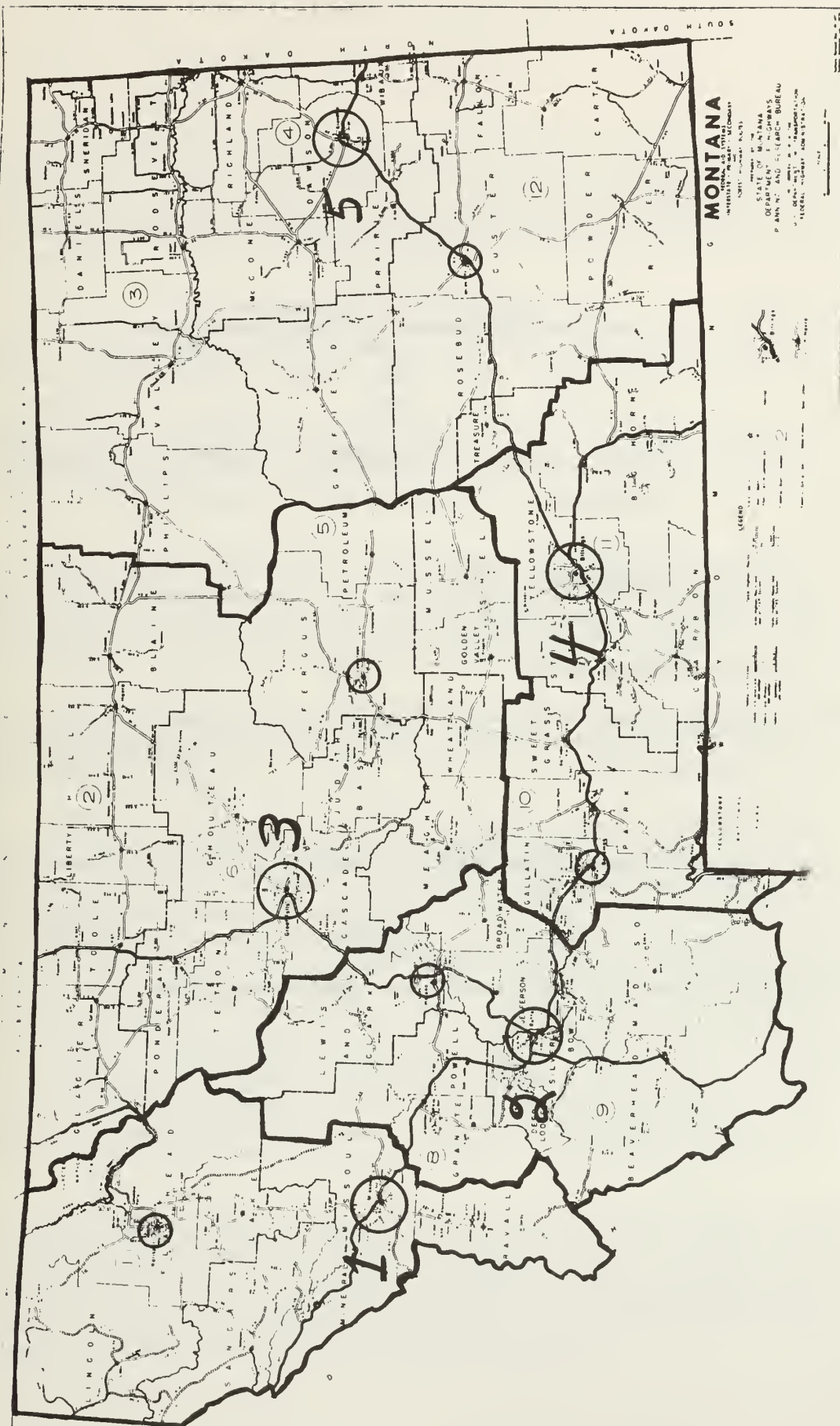


TABLE 3.6
 MANPOWER ALLOCATION
 FOR STATE HIGHWAY PATROL AGENCIES*

	<u>\bar{X}</u> Mean Man-Years Allocated	"S" Standard Deviation	Percent Of Time <u>Allocated</u>
Total Force	133.0	21.0	
<u>Functions:</u>			
1. Traffic Direction and Control	.1	0.0	.07
2. Accident Management	3.6	1.1	2.70
3. Law Enforcement	75.1	12.8	57.00
4. Ancillary Service	1.4	1.3	1.00
5. Support	47.0	11.8	35.00
6. Justice Systems Interactions	3.8	.7	2.80
7. Regulatory	2.0	1.4	1.50
	<u>133.0</u>		<u>100.07</u>

*Per billion motor vehicle miles of travel in the jurisdiction.

N=2

Utilizing the 1977 calculation of 6.511 billion miles of vehicle travel in the state and subtracting 2.784 billion miles of vehicle travel on highways not considered the responsibility of the Montana Highway Patrol, we obtain a figure of 3.727 billion miles of vehicular travel on streets and highways in the state that the Montana Highway Patrol is responsible for.

Once a figure of billion miles of travel has been derived, its value should be multiplied by the figures in the column titled "Mean Man-Years Allocated" which are found in the model for state highway patrol agencies in Table 3.6.

For example, to determine total manpower requirements for the Montana Highway Patrol, using the figure of 3.727 billion miles travelled, we multiply 133×3.727 . This results in a total of 495.691 or 496 personnel.

Further, the Montana State Patrol will require 0.3727, or less than one full-time person, for traffic direction and control. This figure is ascertained by multiplying .1 mean man-years allocated in the model (Table 3.6) by 3.727. Accident management will require 13.4172, or 13 plus personnel, (3.6×3.727) and so on.

See Table 3.7 for a breakdown of the total force by function. Table 3.8 contains a listing of police traffic functions and subfunctions and is included to add definition to the functions included in Table 3.7.

It should be noted that the term "personnel" is used since man-year requirements include both sworn police officers and civilian employees with the need for each being an agency determination (traffic direction might be performed by civilian personnel). In the Montana Highway Patrol Division, however, personnel assigned to driver licensing and driver examinations would be excluded from the 496 man-years allocated as their functions are specialized and are not normally considered a part of traffic law enforcement or highway patrol missions. It should be kept in mind that calculation of individual functions listed in Table 3.6 should be viewed as an estimate of the time that would be devoted to those functions and not a precise measure of personnel assigned to those functions. The reader should also remember that Table 3.6 is a projection of services that would be performed if the Montana State Patrol was to implement this formulae and is not representative of services currently being performed by the patrol. Additionally this manpower allocation model assumes a prescribed level of service to the motoring public. Those assumed levels of service are listed in Table 3.9.

The third column titled "Percent of Time Allocated" may also be used when calculating man-year requirements. This column gives the police administrator a quick reference as to the proportion of his personnel's time to be allocated to each component part of the total traffic program. If the percentage figures are used they apply only to the total manpower requirements computed and result in the identical allocation arrived at through use of the column marked "Mean Man-Years Allocated."

TABLE 3.7

MANPOWER ALLOCATION MODEL
APPLIED TO
MONTANA HIGHWAY PATROL DIVISION

<u>Functions:</u>	<u>Man-Years Allocated</u>
1. Traffic Direction and Control	.37
2. Accident Management	13.42
3. Law Enforcement	279.90
4. Ancillary Service	5.22
5. Support	175.17
6. Justice Systems Interactions	14.16
7. Regulatory	<u>7.45</u>
Total Force	495.69

Note: Calculated from Table 3.6 formula utilizing 3.727 billion motor vehicle miles of travel in state under responsibility of Montana State Highway Patrol Division.

In the tables contained in this section the symbols "S" and " \overline{X} " are used. "S" is called the standard deviation and, loosely interpreted, is used to indicate the expected dispersion of the data (values in this case) about the average value. \overline{X}

\overline{X} is the measure of average value and is referred to as the arithmetic mean. It is the result of adding all values together and dividing that sum by the total number (n) of the values included in the sum.

TABLE 3.8

POLICE TRAFFIC FUNCTIONS AND SUBFUNCTIONS

- | | |
|---|---|
| <p>1. <u>Traffic Control and Direction</u></p> <p>a. Intersection Control</p> <p>b. Parking Control</p> <p>c. Pedestrian Control</p> <p>d. Traffic Management</p> <p>e. Public Contact</p> <p>f. Escort</p> <p>g. Event Control</p> <p>h. Hazard Control</p> <p>i. Temporary Device Control</p> | <p>5. <u>Support</u></p> <p>a. Administration</p> <p>b. Planning/Budgeting</p> <p>c. Office Management</p> <p>d. Personnel Management</p> <p>e. Research/Analysis</p> <p>f. Public Information</p> <p>g. Training</p> <p>h. Communication</p> <p>i. Transportation</p> <p>j. Records/Identification</p> <p>k. Facilities</p> <p>l. Property Control</p> <p>m. Supply Equipment</p> <p>n. Laboratory</p> <p>o. Other Technical</p> |
| <p>2. <u>Accident Management</u></p> <p>a. Initial Investigation</p> <p>b. Follow-up</p> <p>c. Traffic Control</p> <p>d. Injury Control</p> <p>e. Enforcement</p> <p>f. Records/Reports</p> <p>g. Notification</p> | |
| <p>3. <u>Law Enforcement</u></p> <p>a. Line Patrol</p> <p>b. Area Patrol</p> <p>c. Selective Location Patrol</p> <p>d. Records/Logistics</p> <p>e. Maintenance</p> | <p>6. <u>Interaction</u></p> <p>a. Court Duties</p> <p>b. Serving Notices</p> <p>c. Criminal Control</p> <p>d. Detention Activities</p> <p>e. Transportation</p> |
| <p>4. <u>Ancillary Services</u></p> <p>a. Giving Information</p> <p>b. Aiding Disabled Motorists</p> <p>c. Emergency Services</p> <p>d. Hazard Removal</p> <p>e. Inspection</p> <p>f. Auto Theft Control</p> <p>g. Abandoned Car Control</p> <p>h. Missing Proper Control</p> | <p>7. <u>Regulatory</u></p> <p>a. Driver Licensing</p> <p>b. Vehicle Registration</p> <p>c. Vehicle Inspection</p> <p>d. Weight Control</p> <p>e. Carrier Regulation</p> <p>f. Commercial Regulation</p> |

Finally, the police administrator may also use the model for calculating the man-years required to deal with a specific segment of a highway within his jurisdictional responsibility. For example, highway X may account for .12 billion miles of travel. In order to determine the number of man-years needed for law enforcement, 75.1 is multiplied by .12 billion miles of travel. The result is 9.012 or 9 man-years required.

Our allocation and manpower requirements model is simple and reasonably powerful. The indices, billions of vehicle miles and traffic density (average daily traffic), are measurable quantities which, at the very least, will bring us within 15 percent of traffic manpower requirements. Interestingly, if one can accept the requirements formulae, the very same indices must be the criteria for decisions relating to force distribution. If total manpower requirements are a function of volume and average daily traffic, then so must be the need for manpower at specific time and space coordinates.

The distribution of personnel (resources) to meet the expected work demands in police traffic responsibilities is determined by volume-density criteria. Police planners must measure the volume (in billions of vehicle miles) and average daily traffic for roadway segments in their jurisdiction. They must then assign, at appropriate time periods, a prorata share of the total available manpower to those segments.

For a detailed review of the manpower requirements model and graphic solutions, readers of this report are referred to the previously referenced study titled "Police Traffic Responsibilities" by the IACP, a copy of which will be included as a supplement to this report.

As an adjunct to this report, Table 3.9 is included which provides guidance on traffic service levels likely to be provided by state highway patrol agencies. This information should be useful to the Montana Highway Patrol Division in planning selective enforcement and highway safety programs. It should also be useful in setting performance goals and objectives for the field forces. We do not intend that the Montana State Patrol adopt arbitrarily the manpower allocation model discussed in this chapter. We would, however, recommend that the department review the traffic service levels addressed in Table 3.9 for comparative purposes and further recommend that the newly created Research and Development Section review the allocation system in its entirety so as to utilize the information for future manpower projections.

Interim Proposed Manpower Allocation and Distribution

The IACP recommends an interim proposed geographical distribution of the patrol field forces as depicted in Table 3.10. Interim proposed gross personnel authorization for the Montana Highway Patrol Division is depicted in Table 3.11.

Table 3.10 includes the proposed revision of the present six field divisions into five districts and five posts located within a West Area Field Command and an East Area Field Command. The recommended manpower included in Tables 3.10 and 3.11 for the uniformed field forces does not take into account or include additional personnel

TABLE 3.9

TRAFFIC SERVICE LEVELS LIKELY TO BE PROVIDED
BY STATE HIGHWAY PATROL AGENCIES

<u>Service Indicators</u>	<u>\bar{X}</u>	<u>S</u>
● Enforcement Index	28.50	12.00
● Route Miles per Patrol Unit	34.00	1.30
● Contacts per 10,000 of Motor Vehicle Travel	1.40	.40
● Enforcement Contacts per 10,000 Miles of Motor Vehicle Travel	.70	.40
● Motorist Assistances per 10,000 Miles of Traffic Volume	.20	.28
● Patrol Units per 10,000 Motor Vehicle Miles of Average Daily Traffic Volume	.17	.04
<u>Performance Indices</u>		
● Accidents per Fatality	26.00	4.00
● Convictions per Fatal Accident	466.00	4.40
● Accidents per Million Miles of Vehicular Travel	2.00	2.00
<u>Descriptive Indices</u>		
● Percent of Total Force Performing Traffic Functions	67.00	27.00

N = 2

TABLE 3.10

PROPOSED GEOGRAPHICAL DISTRIBUTION
 PATROL FIELD FORCES
 MONTANA HIGHWAY PATROL DIVISION

Office of Field Operations Bureau	Lieutenant Colonel Secretary	Helena Helena
Operational Programs Section	Lieutenant General Office Clerk	Helena Helena
Traffic Analysis Unit	Systems Analyst Clerk Typist	Helena Helena
<u>West Area Field Command</u>	Major Secretary	Great Falls
<u>Patrol District 1</u>	Captain Sergeant (Station) Administrative Aide 4-Pol. Services Techs.	Missoula Missoula Missoula Missoula
	<u>Squad 11</u> Sergeant 10 H P Officers	Missoula
	<u>Squad 12</u> Sergeant 9 H P Officers	Missoula
	<u>Squad 13</u> Sergeant 6 H P Officers	Polson
<u>Post 1</u>	Lieutenant 1 Pol. Services Techs.	Kalispell Kalispell
	<u>Squad 14</u> Sergeant 6 H P Officers	Libby
	<u>Squad 15</u> Sergeant 11 H P Officers	Kalispell

TABLE 3.10 (Continued)

<u>Patrol District 2</u>	Captain	Butte
	Sergeant (Station)	Butte
	Administrative Aide	Butte
	4-Pol. Services Techs.	Butte
	<u>Squad 21</u> Sergeant	Butte
	9 H P Officers	
	<u>Squad 22</u> Sergeant	Dillon
	7 H P Officers	
<u>Post 2</u>	Lieutenant	Helena
	1-Pol. Services Techs.	Helena
	<u>Squad 23</u> Sergeant	Helena
	8 H P Officers	
	<u>Squad 24</u> Sergeant	Helena
<u>Patrol District 3</u>	Captain	Great Falls
	Sergeant (Station)	Great Falls
	Administrative Aide	Great Falls
	4-Pol. Services Techs.	Great Falls
	<u>Squad 31</u> Sergeant	Great Falls
	8 H P Officers	
	<u>Squad 32</u> Sergeant	Great Falls
	8 H P Officers	
	<u>Squad 33</u> (Sergeant	Cut Bank
	8 H P Officers	
<u>Post 3</u>	Lieutenant	Lewistown
	1-Pol. Services Techs.	Lewistown
	<u>Squad 34</u> Sergeant	Lewistown
	10-H P Officers	
	<u>Squad 35</u> Sergeant	Havre
	6 H P Officers	

TABLE 3.10 (Continued)

<u>West Special Enforcement Unit</u>	Sergeant (Temporary Assignments of H P Officers)	Great Falls
<u>East Area Field Command</u>	Major Secretary	Billings Billings
<u>Patrol District 4</u>	Captain Sergeant (Station) Administrative Aide 4-Pol. Services Techs.	Billings Billings Billings Billings
<u>Squad 41</u>	Sergeant 11-H P Officers	Billings
<u>Squad 42</u>	Sergeant 11- H P Officers	Billings
<u>Squad 43</u>	Sergeant 10-H P Officers	Billings
<u>Post 4</u>	Lieutenant Pol Services Techs.	Bozeman Bozeman
<u>Squad 44</u>	Sergeant 10-H P Officers	Bozeman
<u>Squad 45</u>	Sergeant 9-H P Officers	Columbus
<u>Patrol District 5</u>	Captain Sergeant (Station) Administrative Aide 4-Pol. Services Techs.	Glendive Glendive Glendive Glendive
<u>Squad 51</u>	Sergeant 7-H P Officers	Glendive
<u>Squad 52</u>	Sergeant 6- H P Officers	Wolf Point
<u>Squad 53</u>	Sergeant 5-H P Officers	Glasgow

TABLE 3.10 (Continued)

<u>Post 5</u>	Lieutenant Pol. Services Techs.	Miles City Miles City
	<u>Squad 54</u> Sergeant 5-H P Officers	Miles City
	<u>Squad 55</u> Sergeant 4- H P Officers	Custer
<u>East Special Enforcement Unit</u>	Sergeant (Temporary Assign- ments of H P Officers)	Billings

required to meet pending compliance standards relating to enforcement of the 55 mph national maximum speed limit and to the enforcement of the weight and size limitations on the Federal Aid Highways. If pending compliance standards are adopted, then an additional increase in personnel will be required.

Our interim recommendation of personnel in the sworn category for the uniformed field forces proposes an overall increase of 30 sworn personnel consisting of 1 major, 3 lieutenants, 8 sergeants, and 18 highway patrol officers. In addition to the above increase, we have also recommended that the 21 sworn officers assigned to driver examinations be transferred to regular highway patrol duty and that the driver examinations positions be filled with civilian uniformed driver examination technicians. Table 3.12 illustrates a comparison between existing and proposed sworn and civilian personnel.

The restructuring of the Montana Highway Patrol Division has necessitated slight increases of sworn personnel to strengthen or augment the management and administrative functions of the division. The additional major position is necessary to man one of the two area field commands which are considered high priority in strengthening and improving the efficiency of the field forces.

The three additional lieutenant positions are needed to augment and strengthen headquarters administrative, technical and command staff positions which are so vitally needed. Note that the lieutenants presently assigned to assist the captains in each of the present field divisions have been reassigned under our proposed structure to the command of a post within each field district.

TABLE 3.12
 PERSONNEL COMPARISON
 PRESENT AND PROPOSED
 MONTANA HIGHWAY PATROL DIVISION

	<u>Present</u>	<u>Proposed</u>	<u>Change</u>
Chief	1	1	
Lieutenant Colonel	1	1	
Major	1	2	+ 1
Captain	8	8	
Lieutenant	8	11	+ 3
Sergeant	28	36	+ 8
Highway Patrol Officer (21 assigned to driver examinations)	173	191	+18
Legal Officer	1	1	
Public Information Officer		1	+ 1
Accountant		1	+ 1
Communications Technician Supervisor		1	+ 1
Driver Examination Technician (HPO's assigned to driver examinations)		21	+21
Payroll Supervisor		1	+ 1
Systems Analyst	1	2	+ 1
Graphic Reproduction Supervisor	1	1	
Statistical Technician	1	1	
Administrative Secretary	1	1	
Clerk Supervisor	3	3	
Secretary	2	8	+ 6
Police Services Technician (Radio Dispatcher)	9	30	+21
Control Technician Data Processing	1	1	
Stock Clerk	1	1	
Offset Duplicating Operator	1	1	
Accounting Clerk	1	1	
Administrative Aide	6	5	- 1
Clerk Typist	22	26	+ 4
Receptionist	1	1	
Video Data Terminal Operator	1	1	
General Office Clerk	29	29	
Keypunch Operator	8	8	
*Recruit Trainee	3	3	

*3 positions maintained yearround for new trainees assigned to field under field training officers as part of basic academy training program.

The eight extra sergeants are needed for assignment as station sergeants under each captain at each district headquarters, as commanders of the two Special Enforcement Units located one in each Area Field Command, and one in the Personnel and Training Section to supervise and implement department training programs.

The additional highway patrol officers are needed to augment existing roadway assignments in various areas of the state. Their need has already been substantiated by the department based upon increased calls for service in specific highway locations of the state.

Civilian Personnel

The increase of 6 secretaries and 4 clerk typists is necessary to provide secretarial support to the two area field commanders and secretaries and administrative support to the newly proposed headquarters command staff, administrative and technical support positions.

The 21 police services technicians (radio dispatchers) are necessary to augment present radio dispatch staff and to enable the Montana Highway Patrol Division to become a 24-hour per day, 7 day per week operating highway patrol law enforcement agency. This is a critical need if the highway patrol is ever to become a self-sufficient agency. It is a must if the agency is to ever meet its responsibility of responsiveness and service to the people of the State of Montana.

Personnel Increases—Order of Priority

It would not be feasible to expect the Montana Highway Patrol Division to increase its staff to the extent recommended by the IACP within one year. It would be desirable, however, to increase the division's strength to the recommended size in a phased program over a three-year period. Priorities proposed for personnel increases over the next three years are illustrated in Table 3.13.

Future Growth

The IACP firmly believes that the present personnel strength of the Montana Highway Patrol Division should be in the range identified in the manpower requirements and allocation model discussed previously in this chapter and illustrated in Table 3.7; however, the IACP also realizes that state budget limitations must also be reasonably and realistically applied. For that reason, we have proposed an interim personnel authorization strength of 399 (Table 3.11) which should be phased in over a three-year period (Table 3.13). This interim increase of personnel will still not provide self sufficiency to the Highway Patrol Division nor will it raise the strength of the agency to a satisfactory and efficient operating level.

TABLE 3.13

THREE YEAR PHASING SCHEDULE
FOR HIRING OF ADDITIONAL PERSONNEL
MONTANA HIGHWAY PATROL DIVISION

<u>Position</u>	<u>1980</u>	<u>1981</u>	<u>1982</u>
Major	1		
Lieutenant	2	1	
Sergeant	3	5	
H P Officer	22		
Public Information Officer	1		
Accountant	1		
Communications Technician Supvr.	1		
Driver Exam. Technicians	5	8	8
Payroll Supervisor	1		
Systems Analyst	1		
Secretary	2	2	2
Police Services Technicians	7	7	7
Clerk	2	1	1

The legislature of the State of Montana should legislate a phased augmentation program which will increase the strength of the Montana Highway Patrol Division to 496 in five years. Then and only then will the patrol be able to provide a satisfactory level of highway patrol service commensurate with the needs of the citizens of Montana. Present efforts of the department to field selective enforcement and other highway safety programs, let alone provide special emphasis to the 55 mph national maximum speed limit program, are largely inadequate. This is not to say that the department has not made serious effort as evidenced by the Accident Prevention Unit (APU) and other such programs. The major drawbacks to all such efforts are the extreme shortage of personnel and the lack of self-sufficiency which in turn compound each other.

Recommendations

1. Adopt the interim proposed gross personnel authorization for the division as proposed in Table 3.11.
2. Staff the office of the chief as proposed in Table 3.11 and implement by phasing according to Table 3.13.

3. Staff the Driver Services Bureau as proposed in Table 3.11 and implement by phasing according to Table 3.13.
4. Staff the Administrative Services Bureau as proposed in Table 3.11 and implement by phasing according to Table 3.13.
5. Staff the Technical Services Bureau as proposed in Table 3.11 and implement by phasing according to Table 3.13.
6. Staff the Field Operations Bureau as proposed in Table 3.11 and implement by phasing according to Table 3.13.
7. Restructure uniformed field forces into a West Area Field Command, an East Area Field Command, and a revised system of districts and posts as illustrated in Table 3.10 and discussed in the text.
8. Establish a system of priorities and assign sworn officers and civilian employees to the uniformed field forces as illustrated in Table 3.13 and discussed in the text.
9. Initiate the use of Complaint Control Cards and require that a card be filled out for every call for police service, whether received by telephone, walk in, on-view, or otherwise, and assign a complaint control number to each report. This requirement should include calls for police service and dispatches made by sheriff's departments for the Montana Highway Patrol Division.
10. Require that a written report be completed for every call for police service and crosscheck each report with Complaint Control Cards to insure compliance.
11. Initiate use of the recommended Daily Activity Report form for supervisory review and use in management control over work assignments and workload tabulations.
12. Collect complete workload statistics for one year, develop a manpower allocation and distribution system, and perform a manpower allocation and distribution study in accordance with the IACP system contained in the appendix and discussed in the text of this report.
13. Assign highway patrol officers to beats, shifts, posts, and distribute in proportion to workload.
14. Initiate legislation to augment the personnel strength of 496 which was identified as needed through use of the Manpower Requirements and Allocation Model and plan to implement in five years.

IV

MANAGEMENT AND ADMINISTRATION

The chief executive of a police agency must have an extensive knowledge of the general principles of administration and management and the ways in which these principles can be applied. In addition, he has a moral and professional responsibility to his department and the citizens of the community he serves, since he must make decisions which influence the actions of a multitude of individuals and organizations. The quality of a department's administration is the final testing ground of the expenditure of time, material resources, and personnel.

The principal task of the chief is to see that the resources of his department are so managed that its objectives—preservation of the peace, protection of life and property, and enforcement of the law—are achieved economically and effectively. Success depends on the performance of administrative duties; some should remain within the office of the chief or closely aligned to it, while others may be freely assigned to operating and service units, depending upon the size of the agency. Some duties must be carried out by the chief himself in the small agency. In a larger department, he may delegate authority to administer these duties. The police administrator carries out his tasks through the organization of his department; by exercise of direction and supervision; by policy determination and planning; by control and inspection; and by development of personnel.¹

This chapter discusses the departmentwide management functions which are of the most direct interest to the chief of the Montana Highway Patrol Division and to which he is ultimately responsible, regardless of the qualifications or abilities of his staff. However, although the quality of the direction, leadership, and supervision is ultimately his responsibility, it should be jointly shared by command officers and supervisors throughout the Division.

Recommendations

1. Review past management and administrative practices; recognize that the development of support systems and services and such activities as planning, budget formulation and property control, community relations, internal

¹O.W. Wilson/Roy C. McLaren, Police Administration, Third Edition, McGraw-Hill Book Company, New York, 1963, p. 53.

communications systems, and management control systems are central to the success of the total police operations, and place increased emphasis on quality administration to insure the success of line operations.

2. Strengthen the management role of the chief through an improved organization of the Division, by improved direction and supervision, by improved policy determination and planning, by improved management controls, and by improved development of personnel.

Section 1- The Management Team

In a large police agency such as the Montana Highway Patrol Division, the management team is an absolute requirement. The chief himself, due to the magnitude of his responsibilities, cannot personally perform all of the management duties; therefore, these duties must be shared with other administrative officers and supervisors of the department. The management team includes all police officials, from the chief down through the newest sergeant, and each, regardless of his rank, has certain managerial responsibilities. The quality of the management team, like any other team, is measured by its skills, precision, and endurance and the ability of its members to work together. Policies and procedures are of no value unless they are disseminated, received, understood, and implemented. The entire team must expend a concerted effort to improve and progress. Weaknesses must be spotted and corrected at the lower levels of the organization before they are permitted to develop into crisis at the top. Internal lines of communication must always be kept open to insure that reports and recommendations from field sergeants are transmitted upward through the organization where they can be evaluated and analyzed. Subordinate commanders, administrators, and supervisors must participate in the management process by preparing recommendations for the improvement of the overall operation. They have a basic responsibility to assist in the development of policies and procedures which are essential to the accomplishment of the overall goals and objectives of the agency.

When subordinate officers are made to feel that their thoughts and ideas have value and are welcome, they will usually not hesitate to contribute. Well-used channels of internal communication provide all officers of the department with a means of self-expression and, at the same time, provide the chief executive with many new thoughts and recommendations for improvement. Good internal communications are essential to the development of a proper management team.

Planning is still another official responsibility that can be improved through a concerted effort by the management team. The needs of the department's operational activities and organization structure dictate planning requirements. The scope of the planning will depend upon the official's familiarity with the overall objectives of the police agency, his training and ability, and his assignment within the agency. The establishment of a staff planning unit in no way relieves commanders of their responsibility to plan internal programs and activities.

The responsibility for inspections is also part of the management function. Supervisory personnel should inspect their operations and actively search for weaknesses which, if undetected, could eventually cause a crisis. Inspections are best conducted through visits and personal observations of conditions, systems, and operations. Through inspection, supervisors can establish a rapport with their subordinates and keep themselves informed of their morale, frustrations, desires and achievements. Any deviation from the normal can be noted and checked again during a subsequent inspection.

Of great magnitude in terms of importance to the success of the management team concept is the need for subordinate command and supervisory personnel to keep their immediate superior informed of conditions within their particular sphere of responsibility.

Every police official should participate in the management process of making and disseminating administrative policy. Each should control and direct his operation and should plan and inspect the activities, organization and personnel under his command.

The management team concept, to gain maximum effectiveness, must be made a point of issue at every staff meeting held throughout the division. It should be stressed in meetings between supervisors and commanders, and it should be made a specific subject for recurring in-service training for all supervisors in the division.

Recommendation

Implement and train all supervisors in the management team concept.

Section 2 - Police Committees

Committees have been used for many years by industry and can be an invaluable tool for management when properly used. Police administrators should recognize that the use of such committees can also be a useful tool in the management of a law enforcement agency. There are certain basic requirements, however, in the use of such committees. The first requirement is that the organization itself has developed and adhered to sound principles of management and organization.

A committee is justified only in those circumstances where it can be shown that the committee as a whole can do the job better than a single individual. The net effect can be greater in the light of all factors including costs, decisiveness, and sound judgment.

The committee is a sound organizational device when formed for the explicit purpose of obtaining the opinion and considered views of department personnel concerning a subject which managers are either unfamiliar with or not completely qualified to

evaluate. An example would be the creation of a committee to discuss the type of ammunition best suited for state highway patrol operations. This committee would research the problem, obtain views of experts both for and against certain types, and finally make specific recommendations to the department head for final action on the problem.

Committees may also be justified in those instances where the exercise of a specific authority would be too great for a single individual. The authority may be considered too great because of the necessity of having a wide range of knowledge on the subject, more knowledge than can be expected of a single individual. An example of such a committee would be a wage and salary committee established to examine the present wage and salary structure and to make specific recommendations.

In the creation of any committee, the purpose of the committee should be established and distinctly defined. The authority delegated to the committee should be clearly specified, and an impartial chairman should be appointed. All of these factors should be established in writing so as to reduce the possibility of misunderstanding of either the intent or actions to be taken by the committee.

Supervisors and commanders of the Highway Patrol Division should all be alert to the appropriate use of police committees as a useful management tool. When justified, such committees not only provide a sound organizational device but they identify a will on the part of management to utilize the assistance of line personnel in the development and implementation of management decisions. Caution should be used, however, when determinations are made for their use to insure that the purpose of the committee is established and defined in writing and the authority delegated to the committee is clearly specified.

Recommendation

Plan to utilize police committees to assist management in the solution of problems whenever justified.

Section 3 - Written Directives

Written directives of the Montana Highway Patrol are disseminated by means of an Operations Manual of Rules and Regulations, numbered general orders, numbered special orders, numbered memorandums, and letters.

Following a committee review of the prior Operations Manual, a new Manual of Rules and Regulations for the department was put into effect in 1977. After review, we have concluded that the new manual is entirely too fragmentary and is inadequate to meet the needs of the department. Unfortunately, the official order system of the department in addition to many other operating policies and procedures is entirely missing

from the new manual.

It is our opinion that the old manual, written in the form of general orders and composed of policies, orders, rules and regulations, although outdated, was far superior in concept to the new issue. In fact, from information brought to our attention, the Highway Patrol still refers to the old manual for operating guidance on many issues in spite of the fact that it was supposedly rescinded and all copies retrieved and destroyed.

Proposed New Written Directives System

We recommend that the proposed Research and Development Section be assigned a priority project to rewrite the department Operations Manual of Rules and Regulations utilizing both the old and the new manuals in addition to any other outstanding orders or regulations existing in other forms.

In rewriting the manual, we propose that it be structured in accordance with the IACP system. We further recommend that the manual define a new written directives system composed of general orders, special orders, personnel orders, instructional materials, and memoranda for adoption by the department. This new system, which has been adopted and proven to be effective and efficient by many police agencies nationwide, should guide the efforts and the objectives of the department, enabling all activity to be characterized by unity of purpose.

Each general order should be coded so that related orders can be assembled in separate sections of a general orders manual. This manual should include all general orders, as well as existing rules and regulations, and should also contain an alphabetical index, a control code index, and a lettered section index. Each officer of the department should receive copies of general orders and should be held responsible for keeping them up-to-date in his own general order manual and for carrying out the provisions of all general orders. Office copies of the general orders manual should also be retained for daily reference.

The general orders manual should be separated into sections with the same subject matter divisions as those recommended for a department administrative filing system. There are: administration, personnel, training, operations, services, public relations, liaison and legal. A proposed written directives system which includes suggestions for the development of a general orders manual is included in the appendix to this report.

District commanders should develop district manuals composed of memorandum orders to supplement the department general orders manual. Memorandum orders will prescribe operating policy peculiar to the counties which make up the particular district. Copies of each district memorandum will be sent to the Research and Development Section for review to insure that there is no conflict with department general orders.

Recommendations

1. Rewrite the official orders of the Division implementing the proposed system that includes general orders, special orders, personnel orders, memoranda, and instructional material.
2. Supplement the department general orders manual with district manuals composed to district memorandum orders peculiar to the operating policies in the counties which make up each district.

Section 4 - Staff Meetings

Staff meetings or conferences between the chief executive of a department and his immediate subordinates, between the chief executive and other groups of the department, and between all levels of supervisors provide the means to promote constructive exchange of thought and interest. They also provide the opportunity to expand upon, challenge, or defend new proposals beyond the limits of what can be said on paper. Formal staff meetings are intended by purpose to review, analyze, discuss, and develop matters of policy and procedure affecting the department and its operation.

The chief of the Montana Highway Patrol recognizes the value of staff meetings and holds headquarters staff meetings approximately six times a year and staff meetings with his six field division commanders approximately four times a year. Formal agendas are not normally used nor are minutes taken of the meetings and disseminated to participants. The above mentioned staff meetings are not permanently scheduled but are called according to need.

We believe that staff meetings are an area of management that should be expanded and improved upon.

Proposed Staff Meeting System

We recommend that the chief schedule weekly staff meetings with his immediate special and command staff and monthly or at the minimum quarterly meetings with his area commanders, district commanders, and post commanders.

Staff meetings should be formal and should follow a prepared agenda. Notes should be taken by a recording secretary to formalize actions which were agreed upon. Minutes of prior meetings should be reviewed initially to ascertain that follow-up of recommended actions of prior meetings has been accomplished. Meetings should be conducted in a businesslike manner with opportunity for individual expression by participants. Discussion items should be limited to the formulation of department administrative and operational policy and problems of immediate concern. Minutes taken of each meeting

should be summarized, typed, and distributed to all participants prior to the next meeting. Those desiring to add to the agenda should submit suggestions several days prior to the scheduled staff meetings. All of the staff meetings should be brief and to the point.

In addition to the chief's staff meetings, each bureau commander and each area and/or district commander should conduct his own staff meetings, preferably on a monthly basis, following the guidelines already discussed. These meetings should be attended by subordinate commanders or supervisors and are intended to improve intradivisional communications both upward and downward.

The chief of the Highway Patrol Division and other departmental commanders should periodically address meetings of personnel in order to establish and maintain rapport with them. Briefing sessions should also be held before deploying officers for special events. Following such an event, all participating command and supervisory personnel should attend a detailed critique session.

Recommendations

1. Adopt a scheduled system of staff meetings utilizing prepared agendas, as recommended in the text.
2. Publish and distribute minutes of the meetings and hold participants accountable for assignments delegated at each meeting.
3. Institute a system to insure that each concerned individual reads the minutes and acknowledges by his signature that he understands them.
4. Use published minutes of prior staff meetings to check results of assignments given to staff officers and require them to report the results at subsequent meetings.

Section 5 - Verbal Communications

Although the present system of periodic staff meetings within the Highway Patrol sets the posture for good verbal communications within the command hierarchy, it is not clear whether mutual communications are being achieved in all staff meetings throughout the command. Many comments were received regarding the lack of internal communications, which may have been due to the lack of distribution of official orders to each officer; the lack of distribution of individual copies of staff meeting minutes to each concerned officer; the lack of more positive first-line supervision; and the lack of formal roll-calls, roll-call training sessions, and roll-call discussions of new policies, orders and regulations, or other informational matters. At the line-officer

level, verbal communication between line officers and supervisors appears to be seriously lacking. Monthly meetings of personnel with their sergeant will not fill the daily need for effective internal communication between an officer and his supervisor. This lack of communication and understanding influences the development and passage of rumors throughout the department and sets the mood for general low morale.

Proposed Verbal Communications System

While the present system of formalized staff meetings provides a means of verbal communication and tends to promote constructive exchange of thought and interest, care must be taken to insure that each member present participates. For example, chief executives are wise to allow subordinate officers to speak first, otherwise they may remain silent because of their desire not to offend or disagree with senior commanders. When this happens, their presence at staff meetings produces no worthwhile results. Staff meetings in which there are no conflicting opinions and no disagreements serve only an informational purpose and have little value toward genuine improvement.

The interpersonal communications between a supervisor and a subordinate must also be considered. While communications may be defined as the transfer of an idea or a thought from one person to another, with comprehension on the part of the recipient and response from the recipient to the originator, this process is limited to six steps:

- What we intend to communicate
- What we in fact communicate
- What the recipient receives as a message
- What the recipient believes he receives as a message
- How the recipient responds
- How we believe the recipient responds

Every effort should be made to achieve and maintain mutual communication with emphasis upon solving a problem in deference to attacking another person or a group. Defensive barriers to the communications process should be avoided as much as possible with concentration upon understanding, rather than judging. Differences of background, experience, and motivation must also be considered in any interpersonal communication as people do not see and assume the same things and share the same values.

Efforts should be made throughout the Montana Highway Patrol Division to insure that effective interpersonal relationships exist between line officers and their supervisors. Whenever possible and on a periodic basis, supervisors should meet with their assigned line officers at prearranged roll-call meetings and/or roll-call training sessions. There should be a supervisor-line officer contact made in the field each working day. When geographical dispersion prohibits personal contact, a telephone contact should be substituted therefor.

Of utmost importance is the need for specific training of both supervisors and line personnel in the techniques of interpersonal communications. Emphasis should also be placed upon interpersonal communication techniques between supervisors and commanders at each departmental meeting and during each interpersonal contact to insure that effective mutual communication is being achieved.

Recommendation

Institute organizational and administrative systems to support effective verbal communications, initiate adequate training to improve interpersonal communications, and insure that mutual communication is being achieved at all departmental meetings between each supervisor and his subordinate.

Section 6 - Research and Planning

A formal planning section as such does not exist in the Highway Patrol Division. Planning for the most part is presently conducted by the chief, the assistant chief or by a subordinate officer by specific project assignment. The Division, however, has reached a stage of growth which requires more attention to planning as an integral part of the administrative process. Good planning serves to bind an organization together, to implement the policy underlying an organization's purposes, to direct an organization's efforts into the proper channels, and to guide organizational training and performance. Planning is necessary at all supervisory levels, since each supervisor and commanding officer must determine resources and procedures necessary to accomplish tasks.

The most common type of planning used by police agencies is that which occurs on a daily basis, usually directed at some specific problem. This is short-range planning and requires little research and analysis. Short-range planning is necessary in every police organization and serves a definite purpose. However, the planning function should not end there. The kind of planning needed most in a large, modern, and complex police agency is long-range in nature and involves in-depth analysis, research, and experimentation. This is the type of planning that should be assigned to the proposed Research and Development Section. It is the managerial planning that is designed to develop more efficient and effective overall department operations. Management should insure that this type of planning is continuous.

The development of improved practices and procedures and their implementation requires planning at every level and by every functional unit of the police organization. Planning should be the responsibility of every supervisor and commander in determining how best to accomplish tasks, ascertain immediate resources and procedures, and determine organizational objectives. There should be a free flow of information between the planning personnel and each operating entity of the department.

Proposed Organization for Planning

The proposed Research and Development Section, staffed as indicated in the interim proposed gross personnel authorization contained in Table 3.11, should carry out planning under the chief's direction. Research and development personnel should prepare staff studies of problems relating to policy, procedures, and operations. One of the necessary tasks should be to conduct continuing evaluations of the effectiveness of the department's operation and administration for the purpose of discovering new and improved procedures and recommending their approval. Additionally, the planning staff should be responsible for controlling forms and reports and for preparing and controlling the written directives system. The general aims of systems development and control are to improve the information provided by its system (and either quality or structure of the information), to decrease the clerical costs of each paper, record, and file, and to facilitate retrieval of information.

The following should be specific responsibilities of the Research and Development staff:

1. Design new systems and develop new procedures and methods.
2. Provide written instructions for systems, procedures and methods. This section should prepare the necessary manuals to insure uniformity of performance.
3. Assist in preparing instructional material for training the personnel who are to operate the systems. The planning staff member, of necessity, should have the required background knowledge and insight into the concepts and procedures which should be used in the development of these training guides.
4. Participate in the implementation of any new system or procedure. The planning staff should supply the link between concept and execution to insure conformity. Once a system is installed and operating, systems personnel should withdraw.
5. Review, analyze, and improve existing systems, procedures, and methods. Reporting, inspection, and other controls should be utilized in order to verify that the anticipated benefits to the department have

been achieved.

Major planning functions which should be the responsibility of the Research and Development Section are discussed below:

Written Directives

The Research and Development Section should be concerned with the preparation of departmental directives. It should perform the research necessary for the preparation of drafts for review by the chief and his staff. This section should have the responsibility for indexing and cataloging departmental publications and supplying these indexes to departmental personnel. It should also review each order issued at every level of command in the department in order to eliminate any conflicts or inconsistencies with department-level directives.

Forms Control

The Research and Development Section should provide supervision over forms control in the department. This function is extremely important as it insures clarity, uniformity, and brevity in recording and communicating all kinds of information. Specific tasks should include cataloging and indexing every form for use in the department and devising flow charts to show where the forms originate, who sends them, where they go, and what use is made of them. In addition, the section should conduct a continuing review of forms to insure that they conform to departmental policy and to determine whether a combination of forms would be feasible and economical. All orders for forms from any unit in the department should go through this office so that it may review the number ordered and restrict the number to no more than can be used in one year. The section should maintain a suspense file on requests for changes in order to study the suggestions before a new design is ordered.

When the section prepares a new form or redesigns an old one, it should submit the proposed form to the units that will be using it for comments or concurrence. When the form finally leaves the section, all aspects of its design and content should have been completed, and it should be ready for reproduction or printing.

Forms analysis is a specialized kind of methods improvement or procedural simplification. In discussing proper forms analysis, we must consider the following points:

1. The necessity of information. The first consideration is to question the essentiality of information. Not all of the information gathered always suits the service or process for which it is to be used. In many instances the procedure requiring the use of the information may be incorrect or unnecessary in whole or in part. Accordingly, the form should be challenged as to each and every item on the form and each copy of the form requested.

2. Ease and accuracy in preparation. The form should be analyzed to determine the best way of getting the needed information, the best method of minimizing error, the easiest way of entering information on the form, and the most convenient and economical method of sequencing this information. Insofar as possible, forms should be standardized to minimize error and there should be some consistence in their overall appearance.
3. Review and Testing. New forms should be staffed by distributing the forms to appropriate units in the department for careful review and comment. A newly developed form should be given a "trial run" before full-scale production and use.
4. Handling the Information. The information contained in a form must flow between two or more points, and the speed and accuracy of flow can be hastened or slowed by the way the form is laid out. The information must be retrievable quickly and at a low cost.

Personnel assigned to forms control should keep abreast of new printing and processing techniques in order to assist them in solving forms design problems, such as those encountered in accommodating electronic data processing requirements.

Reports Control

The Research and Development Section should also be responsible for reports control. The steps for establishing an administrative report control system are quite similar to those for installing a forms control program discussed above. Initially, an inventory of all routine reports should be made and each report evaluated as to need, composition, scope, and clarity. Written guides, preparation instructions, submission dates and purging or retention schedules should then be established and approved. Continuing control of reports calls for:

1. All requests for new administrative reports to be submitted with written justification and preparation instructions in draft form ready to be staffed.
2. All new requests to be checked against a complete file of sample administrative reports broken down by purpose or function. This review will permit consolidation of similar reports and elimination of any material which is being duplicated.
3. All new reporting procedures to be reviewed in an effort to simplify the procedures as much as possible.
4. All newly approved reports to be assigned specific control numbers.

Systems and Procedures

Personnel of the Research and Development Section should apply systems tools and techniques such as work measurement techniques, office equipment feasibility studies, office lay-out, flow charting, and other methods to resolve administrative and operational problems. A general list of such functions includes the following:

- Conducting continuing evaluations of the effectiveness of department operations and administration.
- Studying, evaluating, and redesigning systems of specific work functions with a view toward increased efficiency, economy, and improved service.
- Coordinating with representatives of concerned operating entities developing procedures for improved systems.
- Assisting in the installation of the systems.
- Making evaluations of the effectiveness of a new operation.
- Administering federal grant applications.

Production of reports should conform to the basic concept of completed staff work. This concept has been defined as the study of a problem and presentation of a solution in such a form that all that remains to be done is for the proper authority to approve or disapprove the proposal. The principal theme of this concept is to avoid presenting undeveloped or partially developed ideas which require time on the part of the approving authority to resolve.

The planning function, if it is to be complete, must include the entire management cycle in which research and development plays a key role. It is said that the mission is to:

Plan. Analyze the situation to determine what is to be accomplished. Determine and evaluate all alternate courses of action. Develop policies and procedures within which the plan will be implemented. Establish measurable goals, the attainment of which will accomplish the plan. Develop a plan which will best implement the course of action selected.

Organize. Develop the function required to accomplish mission. Group related functions. Define and establish organization and relationship. Assign

responsibilities and delegate authority. Select and assign personnel and other resources. Insure good management through an optimum span of control.

Coordinate. Insure lateral and vertical communication throughout the organization. Establish standard operating procedures and administrative instructions. Harmonize programs and policies by insuring balance among plans and actions. Promote intelligent cooperation and mutual understanding. Promote acceptance of organizational objectives, and integrate action toward a common goal.

Direct. Determine the extent of direction necessary, and select methods of communication which will convey to the pertinent elements of the organization the action desired. Motivate individuals and/or elements to insure the action desired, communicate the requirements, and supervise execution of the requirements.

Control. Determine extent of types and methods of control necessary. Implement control procedures. Collect information and data by established procedures. Review, analyze, and evaluate results, and take corrective action.

Grant Applications

The Research and Development Section should perform the application function and provide staff supervision for the chief over all federal grant programs. Budgetary control over on-going federal grant programs should be the responsibility of the Budget and Financial Control Unit.

Operations Research

The Research and Development Section, utilizing operations research techniques, should perform systematic, method-oriented basic inquiry into the structure, characteristics, functions, and relationship of the Highway Patrol Division with an aim to resolve departmental problems which are of concern to the command staff.

Operations research provides management with a scientific basis for solving problems involving the interaction of functional units of the department in terms of the best interests of the total organization. Similarly, as with completed staff work, there must be a precise definition of the problem involved and there must be the collection of relevant and pertinent data. The analysis of the collected data must be so detailed and valid as to provide a model of the real-time situation. Subsequently, there must be a manipulation of the model to estimate what will occur under varying circumstances. From the results of the testing, there can be a selection of the optimum course of action. A continuing check must be made on the validity of the model in the light of any new data which is developed.

Properly handled, research can result in greater attention to operational planning at all levels in the department since one of the important contributions of the research operation, regardless of the section from which it emanates, is to stimulate scientific inquiry up and down the line. The kind of planning needed most in a large, modern, and complex police agency is long-range in nature and involves in-depth analysis and research. In order for comprehensive long-range planning to be possible, the goal which the planning is meant to achieve must be formulated. In short, long-range planning must itself be planned. This will prevent a breakdown of coordination between different functions which results when each function is planned and programmed in isolation to each other.

In order to generate a scheme for long-range planning, both the scope and range must be determined.

- Scope. In order that the planning will be comprehensive, each function in every organizational unit of the department should be included. It may also be necessary to consider certain functions which are not presently the responsibility of the department but which may be delegated to it in the future.
- Range. The range of planning activity will be determined to some extent by the feasibility of projecting the increase of the workload of the department as a whole. A reasonable range might be 20 years. This range should be divided into five- and ten-year periods.

One method of planning long-range goals is to:

1. Determine future needs for the projected time period. These projected time or factor needs might include personnel and resources to meet increases in population, increases in population, increases in geographical area, increases in crime, and increases in traffic.
2. Determine various methods of meeting these future needs. These should include idealized organization regardless of cost and manpower. Advanced technology should also be considered.
3. Review the present organization to determine what the department must do to reach the projected goals.
4. Optimize the operation of the present organization with available manpower, money and technology.
5. Determine the specific improvements required for the five- and ten-year period as outlined. This will involve specific assignments to

individuals with deadlines for completion.

Long-range planning as indicated above will accomplish the following results:

1. Prospective changes will become part of an overall plan and hence coordination will be improved to achieve optimum results and prevent waste.
2. Future demands made upon the department will be incorporated into changes thus avoiding outdated systems at an early date.
3. New approaches to problems can be explored and implemented at an earlier date.
4. Planned control of the growth of the department, including the proper allocation and distribution of department resources.

Operations Analysis (Traffic Analysis Unit)

Operations analysis is defined as the systematic examination of crime and traffic patterns. Such information is helpful to management and to subordinate commanders in planning the operations of their districts and posts. The assignment of personnel and operational procedures can be managed more effectively when the nature of criminal offenses or traffic offenses is clearly delineated in specific geographical areas.

The Highway Patrol does not now have a centralized operations analysis unit assigned to perform traffic analysis for the department. Some analysis is performed by the chief, the assistant chief, and the present field division commanders. Some is also performed by the Highway Traffic Safety Division of the Montana Department of Community Affairs for the Accident Prevention Unit (APU). While local analysis is noteworthy and should be continued, there is great need to organize a department-level unit to produce department-level information on traffic trends for the benefit of both management and subordinate commanders of the department. To perform this function, the IACP has proposed the organization of a Traffic Analysis Unit, headed by a systems analyst, to be located under the proposed Field Operations Bureau.

Traffic Analysis Procedures. Traffic analysis primarily involves the identification of causes and locations of accidents. Surveys, studies, compliance checks, and the tabulation of accidents and enforcement facts provide data relating to accidents, traffic flow and volume, and parking and walking practices. All of this data should be analyzed. The results may reveal the need for selective programs of education and enforcement or the need for additional legislation. Such analysis may show that road conditions contribute to certain accidents and congestion and require referral to the state

traffic engineer for further study and action.

The Traffic Analysis Unit should establish the basic information needs for selective traffic enforcement. With advanced thought and design, reports can be generated through the use of data processing which will expedite the receipt of necessary data. Initially, the analysis should seek out information necessary for enforcement action—that is, the time and location of occurrences, actions of drivers, and causes of accidents. Traffic summary logs which provide this data can be useful when comparing daily traffic accident experience with previous experience. The use of spot maps should also be considered when making traffic analysis of local areas. These maps can be transported to the districts and posts and used to portray local traffic problems and thus enhance the dissemination of information.

Coordination. The Traffic Analysis Unit should establish close coordination with the state's Highway Traffic Safety Division, the state's Highway Department Engineering Division and traffic courts. These agencies should make use of accident reports and, to some degree, the enforcement reports. Each agency makes some form of analysis and produces reports or studies. A well-defined written policy statement identifying responsibilities and relationships of these agencies will be a step toward coordinating their efforts and reducing duplication of records, analysis effort, and reports.

The Traffic Analysis Unit is in an ideal position to bring about a cohesiveness among field units engaged in traffic control and accident prevention programs. Everyone should become traffic-conscious. The analysis operation can provide pertinent, timely information to all units to direct maximum attention toward specific problems. Each officer should be made keenly aware of the high-hazard locations on his beat. Critical problems can then be attacked in a rational manner by district and post commanders and their responsible subordinates.

To effectively perform the above functions it will also be necessary for the Traffic Analysis Unit to maintain close coordination with the Research and Development Section.

Staff supervision over the implementation and operations of all traffic safety programs developed by the department or by the Highway Traffic Safety Division, Department of Community Affairs, will be exercised by the Operational Programs Section of the Field Operations Bureau. These duties will require close coordination with the Traffic Analysis Unit, the Research and Development Section, the Highway Traffic Safety Division, and department operational units.

Recommendations

1. Formalize and organize the planning function of the department as proposed in the text.

2. Assign written directives, forms control, and report control responsibilities to the section as discussed in the text.
3. Assign systems and procedures functions to the section as discussed in the text.
4. Assign federal grant application responsibilities to the section as discussed in the text.
5. Initiate operations research techniques and assign operations research functions to the section as recommended in the text.
6. Initiate a centralized operations analysis function, organize a Traffic Analysis Unit under the Field Operations Bureau commander and assign traffic analysis functions as recommended in the text. Insure close coordination between the Traffic Analysis Unit, the State Highway Traffic Safety Division, the State Highway Department Engineering Division, the Highway Patrol Research and Development Section, and other offices of interest.

Section 7 - Management Controls

Controls as used in a police organization are internal as well as external. Controls may involve personnel, processes, regulations, or devices. For example, a mere form is an excellent control device to insure the adequacy and format of information. Line and staff inspections, if properly conducted, can assure management that the organization is functioning efficiently.

An important feature of control is that it must act independently of the process or activity it audits. A well-organized enterprise, adequately staffed with competent personnel, risks failure without sufficient controls to insure that delegated authority is exercised in a responsible manner. If the control exists in the same channel of the system it safeguards, a failure in the system will also nullify the control. For this reason, bank audits are generally conducted by outside independent examiners rather than by internal staff personnel.

Internal management control systems are indispensable for the effective operation of a large force. The purpose of such a system, of course, is to provide an ethical and well-disciplined force and to insure that the organization as established is operating according to plan and in conformance with prescribed regulations. The line supervisory attitude concerning management controls is often not satisfactory. There is a general tendency of many supervisory and command officers to neglect to enforce all regulations precisely or to impose disciplinary procedures when there is an obvious need to do so.

Present Management Control System

The present inspectional control system in the Montana Highway Patrol is primarily exercised through a Supervision Report which is prepared monthly by each district sergeant on each officer assigned to his district. This report is the department document whereby the sergeant's evaluation of his subordinates' work schedule and job characteristics are reduced to writing for the purpose of promoting uniformity in selective enforcement, public relations, job knowledge and proficiency and economy in job operation. In effect, this report is extremely brief and in most cases is filled out in such general terms that its value as an inspection device is less than adequate.

Although not announced formally, the chief and other command officers perform an informal tour and inspection at least twice a year to look at all operations. Formal inspection reports are not prepared for these routine inspections; therefore, the results of each were not on file and could not be reviewed.

Annual inventories are taken of each officer's assigned vehicle, uniforms, and other equipment by his immediate supervisor. Periodically, departmental inventories of all office and division supplies and equipment are taken by the department property officer (last complete inventory conducted 18 months ago).

The present field inspection system is limited in scope. It does not include scheduled inspections of the field forces in their entirety, nor does it include scheduled complete inspections of the driver licensing services nor the other headquarters administrative and technical support services.

The lack of a department-level internal investigations unit to exercise staff supervision over disciplinary proceedings for the chief tends to leave too much discretion to district and division commanders over the conduct of investigations, the writing of reports, and the official recording of discipline rendered. Citizen complaints are generally referred to district or separate division commanders for investigation and/or disposition.

Under the present system, no centralized complete record exists of all citizen or other disciplinary complaints made against all officers and employees of the Montana Highway Patrol or the disposition of such complaints. A valuable management tool is thus lost to the chief on a ready review basis which insures that all complaints are properly investigated, dispositions recorded, and discipline rendered (when required by the facts of the investigation). A control tool is also lost which insures that proper disciplinary reports are forwarded and filed in respective personnel record jackets and not disposed of prior to transmittal to headquarters.

Proposed Organization for Management Control

Management control through inspection should be exercised for the chief through the Inspections and Internal Affairs Section. The Inspections and Internal Affairs Section,

headed by a lieutenant, should be assigned the overall responsibility for overseeing the activities of the entire department through planned, periodic examinations of all functions. Its purpose should be to discover deficiencies in command and line inspections and poor performance and inefficiency concerning procedures, resources and personnel.

Effective control is facilitated when current and adequate information and intelligence are available. The management function of inspection permits the chief to maintain effective control in the department. Inspections should take place at all levels of command and should include both line and staff inspections. A discussion of control through inspection is included in the appendix.

Recommendation

Organize and implement a new management control system as discussed in the text.

Staff Inspection

Staff inspection itself is divided into two categories. The first category relates to or may be a part of functional supervision and is most commonly encountered when the line commander lacks the necessary technical skill (sometimes accompanied by a lack of interest) to inspect technical work carried out by his subordinates. For example, the Communications Services Section may inspect the work and equipment of police service technicians assigned to a field operations district. Lack of time may also result in staff inspection used in this sense; for example, a vehicle maintenance unit routinely may carry out inspection ordinarily handled by patrol sergeant. Similarly, a records officer may be assigned to review case reports on behalf of the line supervisor.

Staff inspection in this first category also includes the informal interest and supervision which exists when one operating section develops a procedure which is then carried out by another or when one section's work is the outgrowth of another's. In this case, staff inspection must be carefully controlled and coordinated so that effective and friendly working relationships are maintained. Affirmative action taken as a result of informal inspection of this sort must be carried out by a common supervisor.

The second category of staff inspection relates to the general requirement to conduct inspections on behalf of the chief by a formal staff inspection unit (or other staff officer) to insure control over the total operation of the department and its personnel and to make certain that line supervisors are effectively discharging their responsibilities.

Staff inspection in law enforcement is similar to quality control in private industry. Staff inspection is concerned with the operation and the administration of the entire department—its personnel, its material resources, and its procedures. Inspections must safeguard the resources of the organization, check the accuracy and reliability of its

data, promote operational efficiency, and encourage adherence to prescribed managerial policies.

A significant feature of staff inspection is that it operates independently of those who are responsible for the accomplishment of the task being inspected. Personnel assigned to the staff inspection function must understand that they are acting as representatives of the chief. Similarly, it is imperative that other personnel thoroughly understand the purposes and objectives of the section. Members of the Inspections and Internal Affairs Section should refer comments, via the commander, to the chief for action without attempting to remedy deficiencies on the spot. Exceptions to this general policy should be permitted only when the nature of the deficiency is of such magnitude that continuation would produce irreparable harm to the department's operations or reputation. Small, relatively minor discrepancies may also be pointed out on the spot, but the fact should be included in the inspection report so that at the next inspection it can be ascertained whether or not remedial action was taken.

Inspections personnel should develop comprehensive outlines to assist them in fieldwork and must establish schedules which insure complete coverage of the department with proper priority and emphasis to both operating divisions and administrative and support units.

Preinspection notification should generally be given to the unit being inspected. The staff inspection process depends, to a large extent, upon the respect and cooperation of the inspected unit. Since staff inspection concerns itself with things that are, for the most part, a matter of record, the preinspection notification will not alter these records. The inspection team, made up of members of the Inspections and Internal Affairs Section and/or other department personnel assigned by the chief, should give at least one week advance notice of the impending inspection. An inspection must be planned in advance if it is to be effective. The participating members of the inspection team should convene in a briefing session to outline the general objectives of the inspection and to identify the specific areas of inspection by each member. A checklist should indicate all items to be inspected. Sample inspection checklists or reports developed by the California Highway Patrol are included in the appendix.

The objectives and specific areas to be reviewed will determine the length of time necessary to conduct the actual inspection. Follow-up inspections are essential and will provide an excellent opportunity to measure the effectiveness of the inspection process. But no matter how thorough the inspection process becomes and no matter how many follow-up inspections are made, staff inspection will become a useless and stale effort unless it gets the active support of the administration.

The three major responsibilities regarding staff inspections to be conducted by the Inspections and Internal Affairs Section are as follows:

- Procedure evaluation

- Material resources inspection
- Traffic and crime reporting audit

Procedure Evaluation. The purpose of this aspect of staff inspections conducted by the Inspections and Internal Affairs Section is to insure that procedures are being conducted within the framework of departmental policies and rules. This evaluation should be carried out by thorough inspection of each district, post, section and unit. Through verbal questioning and review of administrative reports, case reports, and other information, personnel of the Inspections and Internal Affairs Section should critically compare performance against written directives. Discrepancies should then be forwarded through the chain of command to the chief and back to the line commander. Procedural inspections are invaluable in disclosing training needs, and appropriate communication should go to the Personnel and Training Section.

Material Resources Inspection. The Inspections and Internal Affairs Section should be responsible for inspecting equipment and supplies used by the department including communications equipment, motor vehicles, office supplies and equipment, and buildings. The purpose of the inspection of equipment and supplies is to insure that items are used properly and maintained in satisfactory condition and to forecast the need for replacement and additional supplies. This type of inspection does not preclude inspection by line supervisors and persons with technical knowledge on a continuing basis. For example, police vehicles should be thoroughly inspected at regular intervals by a competent mechanic and written reports filed with the Inspections and Internal Affairs Section. The responsibility of the Inspections and Internal Affairs Section in this case is neither to make daily inspections nor to keep maintenance records; it is to insure that such line inspections and maintenance services are carried out.

Traffic and Crime Reporting Audits. The Inspections and Internal Affairs Section should be responsible for inspection of the total traffic and crime reporting process including arrest and clearance procedures. The integrity of traffic and crime statistics is vital to the effective operation of the department. Manpower allocation and distribution, administrative practices, and other management decisions are based on traffic and crime records. This function should include audits of traffic and crime reporting procedures from the time the incident is reported through the recording of clearance to the final disposition of the report. The resulting "audit trail" from initial complaint to final disposition should be established, and sample audits made frequently. Complainants should be interviewed routinely to ascertain the quantity and quality of police service and the accuracy of reporting.

Line Inspections

Line inspections are performed by supervisors through their regular lines of authority and responsibility. Each supervisor should inspect the performance of his immediate subordinates.

The immediate field supervisor (the sergeant) should perform the greatest volume of line inspections. The sergeant's greatest asset to the organization is his ability to supervise and inspect and not to perform the job himself.

The sergeant should utilize various approaches to perform this line inspection. Whenever possible, through direct observation, he should inspect both oncoming and offgoing officers, giving particular attention to physical condition, appearance, grooming, and equipment. Through immediate examination of the handling of specific actions, he should assure himself that his subordinates are operating efficiently. Deficiencies should be called to the attention of the personnel involved, and if serious or continued, should be reported through channels for proper retraining or other corrective action. By subsequent review of specific actions, the sergeant can ascertain that the members of his command are thoroughly familiar with traffic, criminal, and other problems on their beats. The sergeant should engage in regular review of overall results being achieved to insure that his subordinates are operating effectively.

Frequency of Inspections

The interval between inspections can be very important to the process. Such key activities as the review of report classification and the spot checking of follow-up investigation report should take place on a weekly basis. Other activities, such as the detailed inspection of facilities, can occur quarterly or semi-annually. Of course, the frequency of inspection varies with the severity of the problem; if an activity or process is being done well, the need for inspection is less critical.

When possible, daily inspections of some aspects of the condition of personnel and materiel should be made by line supervisors. For example, at the beginning of each tour of duty, sergeants should inspect the post or district facility and departmental vehicles.

Weekly or monthly formal inspections by the supervisors also should be conducted. If documented by means of checklists, a record is thereby provided for staff inspectors as well as for line commanders.

Review of Inspectional Reports

Staff inspectors assigned to the Inspections and Internal Affairs Section should rely heavily on reports submitted by operating personnel on periodic line inspections. This will lessen their workload and insure more thorough inspections. Suitably designed reports, when correctly and accurately prepared, promptly submitted, and used according to wisely conceived procedures reveal much essential information. Also, through the use of suitable reports that can be spot checked, staff inspectors will have more free time for making the personal inspections that will insure satisfactory conditions.

The review of inspectional reports serves to stimulate the interest and attention of operating personnel by forcing them to make periodic inspections that might otherwise be neglected and to determine whether or not conditions are satisfactory. For example, if a highway patrol officer is required to submit a periodic report on traffic hazards on his beat, he will make greater effort to learn whether such conditions exist. One of his principal tasks is to know the conditions on his beat, and failure to know is as much a dereliction of duty as is failure to take action in the face of such knowledge. When he states that traffic hazards exist on his beat, he is then bound by departmental regulations to take some action and report it to the State Department of Highways, Engineering Division.

Inspection Procedures

Inspection procedures for the guidance of Inspections and Internal Affairs Section personnel should be outlined in the same manner as procedures for all other police operations. When adequate inspection procedures have been established, the chief may be more confident that his entire organization is operating as planned.

Inspectional Standards

Inspectional procedures will not be fully effective unless these procedures are judged against standards—formal or informal. Following each observation made during an inspection, the Inspections and Internal Affairs Section officer assigned must decide whether or not these standards are being met.

Recommendations

1. Initiate a system of staff inspections and line inspections as recommended in the text.
2. Develop and utilize checklists and inspection forms to cover all administrative, technical, operational, and service functions of the department.

Organization for Internal Discipline

Procedures for disciplinary action, hearing and appeal are generally described under Section 31-105 RCM 1947 as amended. The attorney general has, in turn, produced a one page Disciplinary Board Procedure for the Highway Patrol Bureau which describes the makeup of the Disciplinary Board and sets forth the order of procedure for a board hearing.

Departmental internal discipline procedures have, for the most part, been defined under

two sections of the personnel policies, procedures, and orders (rules of conduct) sections of the Operations Manual of the Montana Highway Patrol. "Complaints—criticism by members of the Patrol" who have complaints against other members are contained on page S5-40 of the Operations Manual. "Charges Against Uniform Personnel" procedures (31-105) are contained on pages S5-45 and S5-46 of the Operations Manual.

In effect, the two departmental orders are fragmentary in scope and while they define responsibility, they do not clearly outline a system of procedure for carrying out the respective responsibilities. Evidence of this was clearly discernable when personnel files were examined in each of the field divisions and at headquarters. Obviously there are misinterpretations of authority, responsibility and disciplinary procedures between the different field division commanders and between them and the headquarters personnel officer.

Proposed Internal Discipline System

We proposed that there is great need to strengthen centralized control over the disciplinary process by the establishment of an Inspections and Internal Affairs Section to exercise staff supervision over disciplinary proceedings for the chief and to maintain a centralized record of all citizen or other disciplinary complaints made against officers and employees of the department and the disposition of such complaints.

The primary disciplinary mission of the proposed Inspections and Internal Affairs Section should be to record, supervise, and control the investigation of complaints against department personnel; to conduct some categories of investigations entirely; to develop evidence of any alleged corruption within the force; and to perform other confidential investigations at the direction of the chief. It should also review disciplinary complaints and investigations made by line commanders in order to assure that such investigations are handled completely and accurately.

The staffing level of the Inspections and Internal Affairs Section is at best difficult to establish but it is extremely important. It is recommended that a lieutenant and the clerk typist be assigned to the section initially. Eventually a sergeant on a part-time basis initially and full-time when the need indicates, should be assigned to internal investigation in each area command. The area command internal affairs sergeants should be nominated by the respective area commanders and approved by the chief. Needless to say, the two persons assigned to these positions should be above reproach in character and work experience.

The commander of the Inspections and Internal Affairs Section should have some personnel administration background and preferably some legal training, since he and the legal officer will be responsible for the preparation of cases at disciplinary hearings. It is important that he coordinate closely with the department legal officer on each step of every disciplinary case. An outside legal counsel should be appointed to present the case before the department Trial Board or in subsequent court hearings.

Currently, the department's recruit training program contains eight hours of instruction on the Rules and Regulations of the department. It is not clear how much of this time, if any, is specifically devoted to the disciplinary process. For this reason, we recommend that the following disciplinary standards training be applied to departmental training programs:

- Two hours in each recruit class be devoted to teaching the disciplinary process.
- One hour at each in-service training program be assigned to the disciplinary process and problems the department is currently experiencing.
- A member of the Inspections and Internal Affairs Section be responsible for developing the lecture outline and making the presentation.

The department training staff and the Inspections and Internal Affairs Section should meet at least every six months to analyze disciplinary problems of the department in order to update the training curriculum in those areas in which the department is experiencing difficulties.

Following an extensive study of discipline which was examined in seventeen selected police departments, and was funded by the Law Enforcement Assistance Administration, National Institute of Law Enforcement and Criminal Justice, the IACP in 1976 published a report of its findings in a Manual of Rules, Procedures, Supportive Law and Effective Management entitled "Managing for Effective Police Discipline." The manual contains a model of a departmental general order which defines the function of an Internal Affairs Division and is included herein for information. Charts 4.1 and 4.2 are also included illustrating prototype discipline procedures. The manual contains prototype rules of conduct and detailed prototype discipline procedures which should be dealt with by the department in separate general orders.

Appendix B of the manual contains an annotated bibliography of selected court cases on police discipline which provides support and background for the prototype rules of conduct and the prototype discipline procedures.

We propose that the Montana Highway Patrol adopt the IACP system of internal discipline contained in the above referenced manual. The model general order which sets forth the functions of the Internal Affairs Division should be revised to "Internal Affairs Functions of the Inspections and Internal Affairs Section." The contents of this general order and two new general orders on "Rules of Conduct" and "Discipline Procedures" should be developed following the guidelines recommended in the IACP referenced manual "Managing for Effective Police Discipline." Such rules and procedures must, of course, conform to existing statutory law and the Montana Administrative Code.

PROTOTYPE DISCIPLINE PROCEDURES
INVESTIGATION, CHARGING, AND DISPOSITION WITHOUT CHARGES

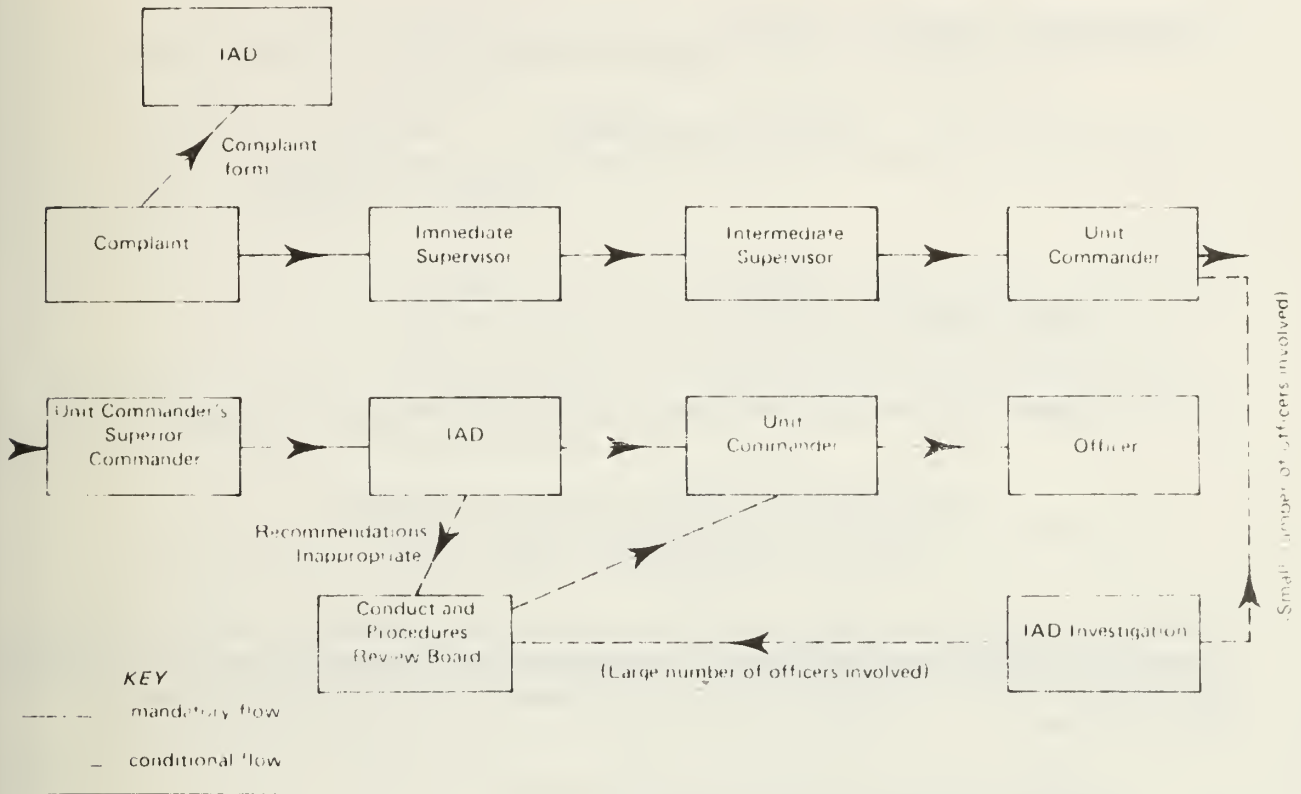
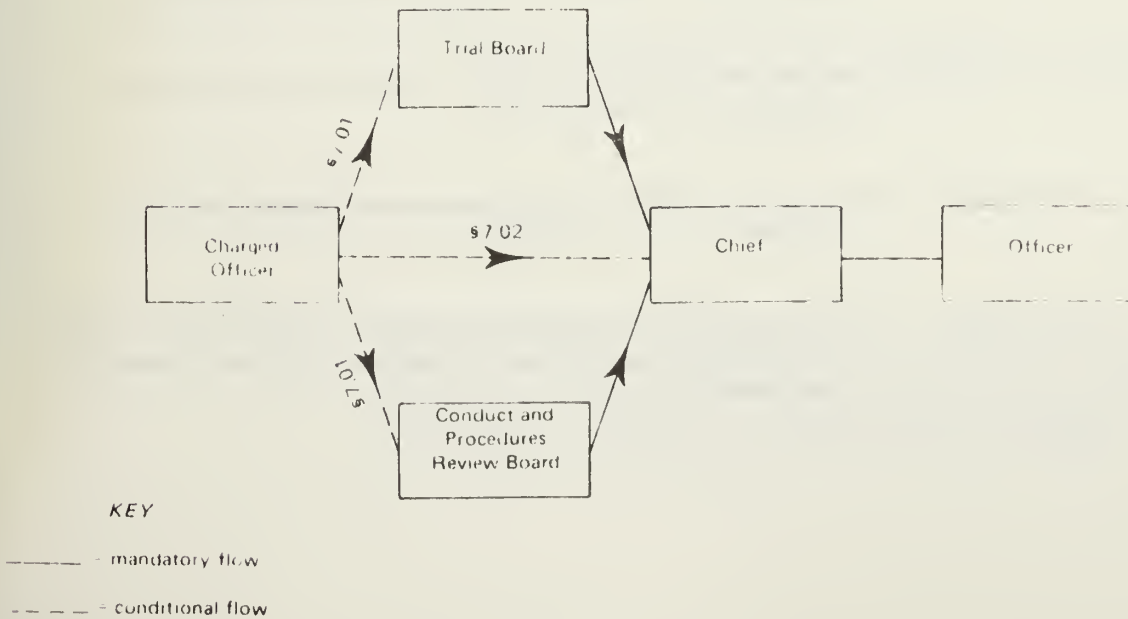


CHART 4.2

PROTOTYPE DISCIPLINE PROCEDURES
APPELLATE PROCESS



DEPARTMENTAL GENERAL ORDER _____

POLICE DEPARTMENT

DATE _____

Index as:

Internal Affairs Section (IAS)

Procedures for Handling Allegations Against Departmental Personnel/Procedures

FUNCTIONS OF INSPECTIONS AND INTERNAL
AFFAIRS SECTION

PURPOSE: The purpose of this order is to establish responsibility for the centralization of authority over investigations into complaints made against Department procedures or personnel. This responsibility shall be assigned to the Inspections and Internal Affairs Section.

I. INTERNAL AFFAIRS PROCEDURES

A. Overview of Responsibilities

As described in this order, Internal Affairs Section (IAS) shall be the centralized authority for maintaining control over all internal affairs activities. IAS' responsibilities shall include the following:

1. Maintain staff control over all internal investigations.
2. Maintain a central file of all complaints against service/ personnel.
3. Maintain a control log for complaints against service/ personnel.
4. Notify by letter the citizen (unless the complainant is anonymous) making the complaint that the complaint is being investigated.

5. Notify the attorney (city, county or state) of matter which may result in civil action against the department.

B. IAS Responsibility for Review, Assignment and Staff Control Over Internal Investigations

1. IAS shall review each complaint received by the department. IAS shall assign a control number to each complaint received and record the number in a log book and on the IAS copy of the Complaint Form. The numbering system shall be sequential, prefixed by the year (for example, 79-001, 79-002, 79-003, etc.).
2. The commander of IAS shall decide on responsibility for performing the investigation as follows:
 - a. investigatory responsibility may be assigned to the accused officer's commander.
 - b. the investigation may be performed by IAS.
3. IAS will assume responsibility for the investigation under the following circumstances:
 - a. when directed to do so by the Chief of Police.
 - b. when the matter is such that security is desirable until the investigation is completed.
 - c. when the investigation is so complex that it would be impractical for the accused officer's commander to undertake the task.
 - d. when several officers of various commands are involved.
4. If the officer who originally interviewed the complaining citizen indicates on the report that the complaint was resolved to the citizen's satisfaction, the IAS shall recontact the citizen (by telephone or in person) to acknowledge receipt of report and determine if the citizen is fully satisfied.

- a. If the citizen indicates satisfaction and no further action appears warranted, the case shall be closed.
 - b. If the citizen indicates satisfaction, but in the judgment of the IAS commander further investigation is warranted, the case shall remain active and investigatory responsibility assigned as described in Section B, 2 above.
 - c. If the citizen indicates dissatisfaction with the action, the IAS commander shall assign the active investigation as indicated in Section B, 2 and determine the reason for the reporting officer's closure.
- 5. When the complaint is assigned for investigation, either to be conducted by IAS or the accused officer's commander, a 3 x 5 "Pending Card" shall be completed. This card shall identify the IAS investigator responsible for the case or the commander to whom the case was referred. The card shall also state the date on which the investigation shall be completed. All investigations shall be completed 10 calendar days from date assigned unless extensions are requested by the assigned investigator or commander.
 - 6. The pending file shall be checked daily. If an investigation is not completed on the date due, a memorandum shall be directed to the commander who originally received the investigative assignment. An additional two-day extension shall be automatically granted.

II. ADMINISTRATIVE FUNCTIONS

- A. IAS shall be responsible for maintaining a master control file of all service/personnel complaints.
- B. The following Control Cards shall be prepared and maintained by IAS:
 - 1. A 3 x 5 card shall be made for each complainant. The card shall contain the following information:
 - a. Name of complainant—log number. Anonymous complainants shall be so listed.

- b. Complainant's address and telephone number.
 - c. Brief description of nature of complaint (excess use of force, discourteous, etc.).
 - d. Date and time occurred

Date and time reported

Date and time received by IAS
 - e. Other officer(s) involved (if more than one officer is the subject of the complaint).
 - f. The finding shall be entered when the investigation has been completed.
2. A 3 x 5 alpha card shall be made for each officer against whom a complaint is made. The card shall contain the following information:
- a. Name of officer—log number.
 - b. Organizational entity to which officer is assigned.
 - c. Brief description of circumstances (including other officers involved in the complaint).
 - d. Date and time occurred

Date and time reported

Date and time received by IAS
 - e. Complainant's name.
 - f. The findings and disposition shall be entered when the case is completed.

- C. A case folder shall be prepared by IAS. Each case folder shall be marked with the log number and shall be filed sequentially. The case folder shall contain a copy of the original report submitted to IAS and every subsequent document relating to the case. The case folder shall be maintained in a locked file.
- D. Each citizen making a complaint shall be notified by letter acknowledging receipt of the complaint. This will include an approximate time of completion. In cases where completion of investigation is delayed, an additional letter will be sent to the complainant with the assurance that the investigation is continuing. These letters shall be over the Chief's signature and copies of the same will be maintained in the IAS Case Folder.
- E. A letter shall be forwarded to the office of the attorney (city, county, or state), over the signature of the Chief, informing the attorney of the receipt of any serious complaint or complaint which may result in legal action against the (officer, department, etc.). The letter shall set forth the date, the nature of the complaint and the names of police personnel against whom the complaint is made. A copy of this letter shall be forwarded to the department legal advisor.
- F. Upon disposition of a complaint against an officer, the complainant shall be notified by letter from the Chief whether the officer was exonerated or the complaint sustained. Similarly, if the complaint is against departmental procedures or policy, the citizen shall be informed by letter of the department's position on issues of policy or procedure. If the citizen's complaint against departmental policy or procedure has merit, the citizen shall be so informed.

The IACP professional staff have implemented and tested this system in several law enforcement agencies including Lansing, Michigan. It is now being implemented and tested by the Alaska State Troopers of the Alaska Department of Public Safety. (Also see model police disciplinary order contained in the appendix to this report).

We believe that the recommended IACP Disciplinary Procedure can be easily rewritten to conform to the Montana legislative requirements set forth in Section 31-105 RCM 1947 as amended and in accordance with the attorney general's policies.

See appendix for sample copies of IAS Complaint Record Card, Citizen-Police Complaint Form, Disciplinary Charge Sheet, and Departmental Discipline Guidelines.

Police Civilian Review Boards

The position of IACP and the majority of chief executives of law enforcement agencies

throughout this country regarding civilian review boards for police misconduct, has been appropriately presented in a brief prepared by the Law Enforcement Legal Defense Center, Americans for Effective Law Enforcement, Inc., and is summarized herein for information and use.²

A civilian review board for police misconduct is a panel of politically appointed citizens, usually with no police orientation or background, which is created to investigate complaints by citizens regarding alleged police misconduct.

The concept of a civilian review board is that citizens' complaints against police officers for various forms of misconduct cannot or will not be properly and objectively investigated by police officers, and that such investigations should be by an outside "independent" body of non-police personnel. The claim is made by those supporting this view that members of minority groups lack confidence in the integrity of police department investigations of its officers.

The American Civil Liberties Union, which has spearheaded the drive for civilian review boards in the United States for many years, has officially stated its position in Policy Statement No. 204, which was adopted in their minutes of September 14, 1964, and reads as follows:

Civilian Review Boards - The Union strongly favors the adoption by municipalities of independent civilian police review boards. This technique is not only a desirable method for dealing with civilian complaints of illegal police practices in a way that will preserve community confidence in the police, but also can prevent summary dismissals of police for unsubstantiated charges of brutality and can bring to light other injustices suffered by police officers themselves.

Past experience has shown that neither of these objectives have been achieved through the review board process.

As a result of strong agitation for the establishment of police review boards, review panels of varied authority and composition were established in Washington, D. C.; Philadelphia, Pennsylvania; Minneapolis, Minnesota; York, Pennsylvania; Rochester, New York; New York City; New Haven, Connecticut; and Indianapolis, Indiana. See in general, Task Force Report: The Police 200 (1967).

²AELE Law Enforcement Legal Defense Manual, Brief No. 73-5, revised 1976, Counterarguments to Proposals for Police Civilian Review Boards, Law Enforcement Legal Defense Center, Americans for Effective Law Enforcement, Inc., Evanston, Illinois, pp. 3-6.

The fact that most of the above review boards are no longer in existence can fairly be construed to indicate that they failed to accomplish the purposes for which they were established. While there appears to be no empirical data which would justify a theory that such boards won the confidence of the community in terms of police investigations, it would appear to be a fair conclusion that they were in fact unsuccessful.

In Philadelphia, for example, a civilian review board existed until it was nullified by the Mayor. A Lutheran Minister, Reverend W. Carter Merbrier, pastor of the Messiah Lutheran Church, had served on the Philadelphia review board for approximately two and one-half years and resigned because: "Most cases involved criminal elements bringing in policemen in an attempt to have their record expunged...I resigned because I believe that it accomplished no good purpose..."

In drafting its Standards Relating to the Urban Police Function, the American Bar Association had the following to say about the effectiveness of independent police review boards:

The independent police review board, which seemed to many to provide a potential means of handling grievances and clearing the air of tensions between the police and the public, giving the public greater confidence in its police and the police a certain amount of protection from malicious and unfounded complaints, never was able to achieve its purpose.

Although the police themselves played a major role in defeating civilian review boards in many cities, inherent defects in the idea of the review board also contributed to its lack of success. Primary among these was the fact that the reviewing boards focused solely on the misdeeds of policemen while ignoring the potential for abuse of discretion and impact on minority groups of other administrative agencies. Secondly, the procedures for determining the proof of any complaint in order to protect the rights of both parties require many procedural safeguards...Standard §5.3 (6)(c)(1), Tent. Draft, p. 170.

The findings of the President's Commission on Law Enforcement and Administration of Justice published in February 1967, considered citizens' complaints against police. The report reviewed legal procedures outside of police departments, e.g., local prosecutors, the courts, elected officials, state attorney generals, the United States Department of Justice, and others who could be used by citizens who remain dissatisfied with the disposition of their complaints by the police agency. Although the commission took note of the fact that established legal procedures might not always produce satisfactory results, a firm position against civilian review boards was taken. The commission stated:

In going beyond the established legal procedures the commission finds it unreasonable to single out the police as the only agency that should be subject to special scrutiny from the outside. The commission, therefore, does not recommend the establishment of civilian complaint review boards in jurisdictions where they do not exist, solely to review police conduct. Task Force Report: The Police 198 (1967).

It should be noted that both the President's Commission on Law Enforcement and the American Bar Association Advisory Committee on The Police Function have both recommended strong internal administrative procedures for review of police misconduct. This is also the position of experienced professional police administrators on a national level. In its Position Statement on Police Review Boards, the International Association of Chiefs of Police has stated that competent police administrators are in the best position to investigate all complaints thoroughly, to correct a legitimate grievance, or equally as important, to protect the reputation of an innocent officer. Moreover, the association has stated that police administrators and the political leadership of the community are the repository of constituted authority to protect the public safety and that it is difficult to see how that responsibility or any part of it legitimately can be assigned elsewhere. The IACP Position Statement said the following about police internal investigations:

Formal machinery within every police department for the investigation of complaints against police activities or employees is an absolute necessity. Police departments should endeavor to inform the complainant of the results of its investigation and the disposition of the complaint. If the complainant remains dissatisfied, there are numerous sources of appeal outside of the police department: the local prosecutor, elected officials, the courts, the department of justice, and various civil rights commissions. These are well established competent and authorized institutions of legal redress. The Police Chief 9 (June, 1965).

This statement underscored an IACP resolution of October 6, 1960, which vigorously opposed such boards. Vigilantism, harassment of officers, and the impairment of existing recourse and remedies were cited as potential dangers.

If the department wishes to obtain a complete copy of the brief, it may be obtained from Americans for Effective Law Enforcement, Inc., 960 State National Bank Plaza, Evanston, Illinois 60201 (Telephone 312/866-8400).

IACP reasserts its opposition to police civilian review boards and supports strong administrative procedures for review of police misconduct.

Recommendations

1. Assign internal affairs functions to the Inspections and Internal Affairs Section as discussed in the text.
2. Staff the proposed Inspections and Internal Affairs Section on an interim basis as discussed in the text; consider the assignment of an internal affairs sergeant stationed in each area command at a later time. (Part-time or full-time according to need. See text.) Although working in the area commands, these sergeants would actually be assigned to and would report to the Inspections and Internal Affairs Section at headquarters.
3. Adopt a new listing of rules and conduct which conform to court case law as proposed in the text. Insure that such rules conform to statutory law and the provisions of the Montana Administrative Code.
4. Adopt a system of disciplinary procedures utilizing a conduct and procedures review board and a trial board as discussed in the text. Insure that such procedures conform to statutory law and the provisions of the Montana Administrative Code.
5. Initiate recruit and in-service training on the new rules of conduct and disciplinary procedures as recommended in the text.
6. Resist all efforts to install a police civilian review board.

Section 8 - Control Through Direction and Supervision

Direction in a police agency is accomplished through leadership, supervision, the establishment of policy guidance, verbal communications, and by a formal system of manuals and orders. Supervision primarily involves face-to-face leadership and direction of subordinates. Management is concerned with the development and establishment of policy, whereas the job of the supervisor is to translate policy into action. Sergeants and lieutenants are part of the management team, even though their primary function is to implement policy at the operational level. They must be provided with the opportunity and encouraged to familiarize themselves and accept the content and value of policies of the police agency.

A supervisor must be responsible for the performance of those he supervises. To do this, he must have sufficient authority to win respect and compliance. Therefore, a sergeant must have the authority along with the responsibility to maintain certain standards of work, conduct, attitude, and appearance. A sergeant should have

authority to correct a deficiency in an officer's appearance, including the right to send him home to effect the change, if necessary. He should also be able to require the re-writing of reports that are found unsatisfactory. He should have the authority to request and receive written reports covering any phase of performance or conduct. There should be no question of the right of every supervisor to suspend temporarily a subordinate for intoxication, insubordination, or other serious violations of departmental rules and regulations.

Department Supervisory System

The present organizational structure of the Montana Highway Patrol in itself creates supervisory problems. For example, management supervision of the department field forces flows from the chief to the assistant chief to six field division captains to six field division lieutenants and then to varied numbers of district sergeants. This structure tends to establish a predominance of one-over-one command relationships throughout the field operations.

The varied ranks commanding staff entities at headquarters also presents a problem in supervision. For example, there is a major commanding Driver Licensing Service, a captain commanding Safety and Education, a captain commanding Personnel and Training, a lieutenant commanding the AP Unit, a sergeant commanding Supply and an Offset Duplicating Operator heading the Printing and Photo-Processing Section.

A major functional problem involving supervision also exists in the fact that the captain commanding Personnel and Training has staff responsibility for the selection and other personnel functions (including maintenance of personnel records) of sworn personnel while the major commanding Driver Licensing Services has staff responsibility over hiring and other personnel functions (including maintenance of personnel records) of civilian members, in addition to a varying degree of command authority over them.

A serious problem also exists in the field divisions as the duties and responsibilities of the lieutenants who have been designated as assistant division commanders have not been clearly spelled out, and as a result, their authority varies considerably from division to division. In addition, it was noted that a number of the sergeants appeared to be overburdened with paperwork at the divisions, which in turn prevented them from spending an appropriate amount of time in the field supervising their personnel. Some officers reported that they had not seen their sergeants for up to two months.

Many complaints were received from field officers concerning their lack of communications from headquarters, lack of contact by sergeants and other division command personnel, lack of training beyond basic, and the lack of orientation on new legislation, new court decisions affecting their work, new law enforcement innovations, etc.

Proposed Supervisory System

We propose that management supervision in the Montana Highway Patrol will be greatly strengthened by the new four bureau concept. Under the new organization, the one-over-one command relationship has been eliminated, and the chain of command throughout the department is clearly illustrated.

Command lines from each of the special staff sections to the chief are clearly delineated. The functions of each of these sections and the authority of the section commanders have also been clearly outlined as staff functions only, and it has been emphasized that personnel assigned to these sections have no command authority over any of the line units or line personnel of the department. Supervision as it relates to the functions of these sections is purely staff in nature and is only exercised at the request of the chief. Their main purpose is to provide the chief with administrative assistance for the planning of the departmental programs, for the implementation of programs, and for controlling the results by the processes of instruction and review.

The effectiveness of supervision has also been enhanced through the grouping of like functions under separate bureau commanders. The new functional organization of the bureaus and of each section assigned to each bureau facilitates command and control and clearly delineates the functional responsibilities of each commander and supervisor. Span of control normally extends to four or six subordinate commanders depending upon the functions being supervised, the geographical location of the subunits, and the type of activity involved. State driver licensing services and departmental services have also been separated functionally.

We strongly propose that the department review its present policies on the assignment and use of sergeants. We recommend that sergeants be used as supervisors and not as workers and that they be held accountable for all police operations at the operating level. The implementation of traffic selective enforcement programs, community relations, and highway safety programs all require field supervision to insure that the purpose and intent of the programs are carried out in accordance with the aims of management. It is not logical to believe that police officers or employees of any other type of occupation can function properly and effectively at the operational level without at least some on-the-job supervision. The sensitivity of police work makes it critical that first-line supervision be readily at hand to respond to emergency situations and to observe, advise, and train personnel on a daily basis as well as to insure that departmental policy is properly implemented and complied with. We propose that the department initiate a program to evaluate the present role of its supervisors in accordance with assigned functions, time spent on each, effectiveness, etc.

Training. A continuing program to train supervisors is needed in every law enforcement agency. Ordinarily, supervisory training should take place before or or soon after promotion to a supervisory position. A positive attitude for supervision must be created by increasing the individual's knowledge of police skills and his understanding of administrative principles. It is easier for a supervisor to accept and practice the concepts of "unity of command" and "delegation of authority" when he is

familiar with the best contemporary thinking on such subjects by authorities in the field.

Authority. For an organization to operate efficiently, a supervisor must be held responsible for the performance of those he supervises. In order to accomplish this, he must be given sufficient authority to win respect and compliance. The first-line supervisors—the sergeants and lieutenants—should not only have the authority to require certain standards of quality, quantity, conduct, attitude, and appearance, but should be held accountable for same.

Inspections. Supervision of the performance and conduct of subordinates is accomplished through inspection. The right to inspect must be coupled with the opportunity to do so. The supervisor exists to oversee the work of others; he should not, under normal circumstances, be assigned to perform the work. This means that units operating in a staff or service capacity should always have sufficient supervisors available to offer direction, guidance, and inspection to any of their subordinates who are on duty.

Supervisors can obtain improved functional performance by making use of a number of inspectional and motivational devices available to them. By setting a challenging pace, providing opportunities for officers to obtain more satisfaction and skill in their performance, and by anticipating deficiencies, the competent supervisor can produce more effective operations.

Evaluation. The supervisor should specifically evaluate the subordinate by the following methods: studying the records; assessing the quality of written reports; comparing officer's performance, attitude, and the like; inspecting the quality and quantity of notes in the officer's notebook; and by personal inspection and observation of general appearance, conduct, attitude toward fellow officers and the public, and conformance to rules and regulations. The supervisor should inspect field assignment areas to determine unreported highway hazards, defective street lights, defective traffic signals, missing or damaged traffic signs, etc. The supervisor should also directly observe the practices of officers at the scenes of called-for services on at least a spot-check basis.

Supervisors must seek and develop confidence among officers. However, competence must be consciously evaluated in terms of specified standards. Most people rate others and make judgments unconsciously and are unable to articulate the basis for their judgment. If supervisors are to make their greatest contribution to the organization—that is, the development of personnel resources—then they cannot escape the obligation to consciously rate subordinates on a continuing basis. In order to evaluate effectively and motivate improvement, the supervisor must know precisely what he is doing. He must keep accurate notes on each of his subordinates and transpose his observations into a formal evaluation as required by the department.

It should be noted that evaluation is not an end in itself. The steps involved serve a dual purpose. Inherent in the process is automatic supervision of the quality and quantity

of each subordinate's production.

Precept and Example. Insofar as possible, supervisors must demonstrate desirable characteristics and good working practices for their subordinates to emulate. Officers quickly note their supervisor's appearance, and their approach to the public—whether courteous, friendly, and efficient, or otherwise—and to occupational problems and challenges. They are most likely to follow the example set for them whether good or bad. Obviously, a supervisor will be ineffective in his attempts to correct bad habits in others if he himself possesses the same faults.

Recommendations

1. Adopt the four bureau and special staff concept as proposed to clearly delineate functions, clarify responsibility and strengthen supervision throughout the department.
2. Avoid one-over-one command relationships wherever possible.
3. Assign field lieutenants to positions of post commanders with secondary responsibilities of assistant district commanders as proposed in the manpower allocation and distribution chapter of this report.
4. Review present policies on the assignment and use of sergeants, utilize them as supervisors not workers, and hold them accountable for all police operations at the operating level.
5. Institute a program of supervisory training and insure that supervisory training is provided to each new promotee before or soon after their promotion to a supervisory position. Maintain a continuing training program for each level of supervision.
6. Strive to improve supervision through the assignment of proper authority, accountability for its use, inspection at all levels of command, evaluation of subordinates, and precept and example.
7. Initiate a program to evaluate the present role of all supervisors in accordance with assigned functions, time spent on each, effectiveness, etc.

Section 9 - Control Through Fiscal Management

Budgeting is an important part of the planning process, and in effect, sets forth the expected results in numeric terms. The budget is an integral part of operations in

that it expresses goal achievements in the expenditure of funds; capital outlay in capital expenditure budgets, or cash flow as expressed in cash budgets.

The preparation of the budget demonstrates one aspect of planning. This requires that an organization determine in advance how much income (budget allocations) it will receive and how it is to be expended.

Until recently, very little attention has been given to the budget process in police administration. Many progressive and knowledgeable police administrators now recognize that there is a definite need for orderly financial planning and development. Budgeting, it has been said, is the heart of management, and responsible executive leadership should grasp the importance of the concept.

Purpose of the Budget. One of the two major purposes of a budget is that it should be considered primarily as a planning device, and as such, should be prepared only after the department has determined its future programs for the ensuing budget period. These programs must then be translated into the required personnel, supplies, equipment and other material, to establish the exact amount of money which will be involved. For example, if a police agency has conducted a staff study and concludes that it should provide an additional service, it must first plan the extent of the services to be provided, the number of employees needed, the amount of supplies required, the necessary housing, and the number of pieces of equipment required. The plan then would be converted into anticipated costs. Formal and written justifications would be prepared for presentation to the appropriate budgetary authorities. In the formal and written justifications, comments should certainly be made as to the effects, if any, if suggested requests are rejected. Such justifications, of course, should not be written in an emotional manner but in a straightforward, factual manner so that reviewing authorities will have a good idea of the results if such requests are rejected.

Needless to say, the success of any department is partly dependent upon the administration's ability to obtain the men, equipment, buildings, and programs needed to carry out its objectives. Not so obvious, however, is the importance of a sound budget procedure. Unfortunately, many police administrators feel that budget activity is a simple mechanical procedure involving only guesswork and the simple skills of addition and subtraction. Nothing could be more erroneous, since the planning process is one of the most difficult in conducting the affairs of any organization.

States, counties and municipalities rarely have the monetary resources to adequately fund all departments, and consequently there is much competition for the budgeted dollar. It is a historical fact that the agency which justifies its requests with indisputably factual and precise arguments is the most likely to obtain the funds requested. Any legislative body, regardless of the qualifications of its members, greatly appreciates having been given the kind of information which can be used to make intelligent and sound decisions. The legislative body, if deprived of the opportunity to assess the department's programs and facts underlying its objectives, is more likely to base these decisions on sentiment, personal relationships, traditional and historical precedents, and reaction to community pressure.

Thorough documentation of budget requests is an essential part of the overall budgeting process. Simple statements of justification may result in a failure to gain certain necessary appropriations. Justification involves the presentation of facts to explain and substantiate the need for the budget items requested.

One goal of the budget preparation process should be to further develop the concept of program budgeting. A program budget emphasizes work programs and performance rather than merely listing personnel and equipment needs without reference to function or program.

Fiscal Management System

The present department budget is a combination of object or line-item performance or program wherein a major function of the department is identified, a brief summary program for the function is written, and then line-items are included to support the program. The department operates on a fiscal year budget. The department budget is submitted in October and the final bill is passed in July.

Fiscal management of the Montana Highway Patrol Bureau is executed through the Highway Patrol Section of the Central Services Division of the Department of Justice. The Highway Patrol Section, a three person unit headed by a supervisor, was previously a part of the Highway Patrol Bureau but during the last reorganization was transferred to the Central Services Division. This section is responsible for the accounting of all monies spent or collected by the Highway Patrol Bureau including purchasing requisitions, process and approval, the preparation of payrolls and distribution of salary checks, the keeping of ledgers, records, registers, and general bookkeeping duties; the processing, certifying and payment of all proper claims submitted for or to the department, posting and filing of records as required by law; approval of travel requests; maintenance of personnel financial folders; time accounting; correspondence relating to the accounting functions of the Highway Patrol; and other related budgetary functions.

To initiate the budget process, the Office of Budget and Program Planning under the governor promulgates what state agencies will do in their pending yearly budgets. For example, a 6 percent increase. The Central Services Division of the Department of Justice then prepares the draft Highway Patrol Bureau budget encompassing the 6 percent. A meeting is then held with the Highway Patrol Bureau chief and his staff and the administrator of the Motor Vehicle Division. The draft budget is reviewed and budget modifications are received from the Highway Patrol. The budget and budget modifications are then presented to the attorney general in a later meeting for his review and approval. The budget then goes to the governor's Office of Budget and Program Planning where it is recompiled into the governor's budget.

In the meantime, the legislative fiscal analyst makes up his own version of a budget for the Highway Patrol Bureau. His budget and the governor's budget then go to the legislature for reconciliation. The legislature never actually sees the budget prepared by the

Central Services Division in coordination with the Highway Patrol Bureau.

The Montana Department of Administration captures all financial transactions of state agencies in a statewide budget and accounting system and publishes monthly financial reports which are distributed to the various state departments. The Department of Administration monthly reports for the Department of Justice are reviewed by the Highway Patrol Section of the Central Services Division and a specialized monthly Expenditure Report prepared and sent to the Highway Patrol for their information and use. This report is broken down into three budget programs—Patrol Operations, Driver Licensing, and Field Services.

It was reported that a new monthly financial reporting system will soon be initiated by the Department of Administration which will be broken down into 36 responsibility centers. While this new report may be an improvement over the old, it is unclear as to whether it will properly report on federal budgeting projects that the state Highway Patrol is concerned with, earmarked funds, etc. The problem of redeveloping a specialized monthly report for the State Highway Patrol from the Department of Administration's monthly financial report to the Department of Justice is costly in terms of manhours expended and the delay in time involved to redevelop the special report.

Program or Performance Budget

We strongly propose that the State Highway Patrol, in coordination with the Department of Justice, Governor's Office of Budget and Program Planning, Department of Administration, Legislative Fiscal Analyst, and other offices and individuals concerned with the budget, consider changing the present Highway Patrol budget format to a stronger version of the program or performance budget.

The program or performance budget focuses attention on services performed and on proposed programs. It translates police activities into personnel, space, supplies, and equipment requirements allowing reasonably accurate projections of costs involved in each activity. Command and supervisory personnel should, of course, actively participate in the budgeting activity.

Under a program or performance budget, the goals of the department must be identified and defined in terms understandable by the state legislature in regard to benefit and cost. It is a change from the mere justification of budget request, and it requires the department to plan the best method of achieving these goals within budgetary limitations. It is an important management tool that can be used by the chief to identify long-range goals, to define various means of achieving these goals, to place them on a priority scale, and to evaluate or check progress on their achievement.

We believe that the chief and his staff should be required to prepare the draft budget for the Highway Patrol and should participate actively in review, amendment, and approval processes. The chief will be in a much better position to support his budget if he is

required to develop it based upon fixed objectives and if he has the supporting programs with all their components carefully identified and described.

Basic and supporting data needed to support the budget should be prepared several months in advance of the first submission date. All unit supervisors in the department should be encouraged to participate in the planning. All bureau and section commanders should be required to participate. Draft budgets submitted by the respective bureaus should be reviewed by the chief in special staff meetings called for the purpose of preparing the final draft budget for the department.

It is expected that the chief will send a memorandum of instructions to his commanding officers prior to budget-preparation time giving them his guidance for preparation of their budgets. This memorandum should also contain a summary of the financial situation of the state in addition to the budget preparation scheduled and special instructions.

If budgets are well-prepared, they will be more than mere predictions; they will reflect the actual plans for each of the activities covered. Once prepared, they will constitute a goal toward which all department energies must be directed. We recommend that serious consideration be given and action initiated to effect a change from the present form of budget to a more pronounced program or performance budget. A detailed discussion of a proposed program or performance budgeting system is included in the appendix.

Budget and Financial Control Unit

The IACP recognizes that there was justification during the reorganization to transfer the three fiscal persons from the Highway Patrol Bureau to a Highway Patrol Section in the Central Services Division of the Department of Justice. We do feel, however, even under centralized fiscal administration that the chief of the Highway Patrol has need for a full-time staff person within his department to coordinate all fiscal matters and to keep him advised on an everyday basis of the status of expenditures. For this reason, we have recommended that a Budget and Financial Control Unit staffed with one accountant be created in the Administrative Services Bureau and that this accountant be responsible for the following duties:

1. Coordination of all fiscal matters in the department.
2. Providing liaison to the Highway Patrol Section of Central Services Division on all financial affairs of the department.
3. Providing assistance to the chief in the preparation of the draft annual budget.

4. Providing staff supervision for the chief over maintenance of controls and reporting disbursements for the annual budgetary appropriation and various funds and accounts used by the department.
5. Performing audits as directed by the chief of the Highway Patrol.
6. Providing staff supervision for the chief over reconciling statements of accounts.
7. Providing staff supervision for the chief over processing of contracts.
8. Providing staff supervision for the chief over the handling of all cash and negotiable instruments received and disbursed by the department.
9. Acting as intermediary in the department for the collection and forwarding of all fiscal reports to the Central Services Division and acting as the recipient and disbursement center for monthly financial reports and other fiscal reports received by the department from the Central Services Division.

As noted in the organization and span of control chapter of this report, we have also recommended that a Payroll and Timekeeping Unit, staffed with one payroll supervisor, be created to coordinate payroll and timekeeping matters within the department and to keep the chief advised on a daily basis as to the status of timekeeping and payroll in addition to his overview of overtime, compensatory time, sick time, leave time, and other such variables which directly affect the fiscal budget and daily operations of the department.

Recommendations

1. Initiate consideration with appropriate state officials for the adoption of a program or performance budget for the Highway Patrol.
2. Initiate consideration with appropriate state officials to require the chief of the state Highway Patrol and his staff to prepare the initial draft of his budget and that he participate actively in review, amendment, and approval processes.
3. Require that bureau and section commanders in the department participate in the planning and development of draft budgets.

4. Organize a Budget and Financial Control Unit and assign functions as discussed in the text.
5. Organize a Payroll and Timekeeping Unit and assign functions as discussed in the text.

Section 10 - Control Through Property Management

Property management concerns itself with the storage and inventory of all departmental property and supplies. Control over such property and supplies concerns itself with proper records of requisitions, purchases, deliveries, storage, and dispersement. Data relating to the date of acquisition, description, cost, use, and maintenance must be kept readily available. Maximum use should be made of automatic data processing in the compilation of property inventories, stock levels of supplies, maintenance schedules, replacement schedules, etc.

Property management also concerns evidence and recovered property retained in custody of the department. Every item should be properly inventoried protected, accounted for, and legally disposed of, regardless of its value.

Department Property Control System

At the department level, property control is accomplished by a Property and Supplies Section staffed with one sergeant, one stock clerk, one accounting clerk and one clerk typist. Responsibilities of this section include maintaining an inventory of all departmental equipment, ordering and distributing supplies and equipment to divisions and individuals and also supervising equipment changeover. Major duties include:

- Inventory and disbursement of equipment and supplies.
- Preparation of specifications, letting of bids, preparation of purchase orders on radar sets, vehicle radios, automobiles, firearms, office equipment, etc.
- Receipt of new equipment, supervision over equipping them for the field—such as radios, vehicles, etc.—assigning them and arranging delivery to field and pickup of old equipment, etc.
- Processing, ordering, and disbursing uniforms and auxiliary equipment.

- Handling lease agreements on facilities used by the department.
- Keeping maintenance accounts on all radios, vehicles, firearms, and other major items of equipment and property.

Fortunately, the section is not required to deliver equipment and supplies to the field divisions. An excellent system of division supply cages has been built which allows supplies to be inserted in the cages from one side and supplies to be removed by division personnel through a locked door on the other side with good supply security being maintained. Division personnel routinely or by special request pick up supplies from their respective supply cages and take them back to their division headquarters.

Each division headquarters has one or more supply rooms which are used for storage and disbursement of equipment and supplies to division personnel.

Key controls of the supply rooms in the divisions are generally poor. For example, in one division at least nine people had keys to the supply room. In other divisions, the supply room keys were kept in a location which was known to all personnel and generally accessible to all personnel.

The sign-out system for supplies varies to some extent between divisions and for the most part is quite loose. There seems to be no system of positive verification of supply and equipment needs before new supplies and equipment were issued to individual officers. It is true, however, that supply issues can be picked up from the officer's daily maintenance report—if this report is analyzed carefully and compared with past reports and if the entry had actually been made on the form.

We propose that there is great need to augment and strengthen the property control system. Although the present four person Property and Supply Section is doing an outstanding job within its means, the potential for loss by misappropriation and mismanagement is great. The high cost of property and supplies requires that more management attention be exercised over these functions.

Proposed Organization for Property Management

As noted in the organizational and span of control chapter of this report we have proposed that the present property and supply functions be separated and assigned to a Property and Evidence Control Section and an Automotive and Facilities Control Unit under an Administrative Services Bureau which would be commanded by a captain.

The Property and Evidence Control Section headed by a lieutenant and staffed with a stock clerk and an accounting clerk would be responsible for the physical control, disbursement and inventory of uniforms and associated equipment, office supplies, cleaning supplies, office furniture and other specialized items including firearms, ammunition, etc. This section would also be responsible for control over the headquarters

evidence storage facility and would exercise staff supervision over the custody and control of all evidence and found property stored in the various authorized storerooms at each district headquarters.

The Automotive and Facilities Control Unit, headed by a sergeant and staffed with one clerk typist, would be responsible for staff supervision and control over all vehicles and related automotive equipment, in addition to all facilities owned or rented by the Montana Highway Patrol.

Proposed Property Control System

Property control is an identification and accounting system that enables an organization making use of capital assets (furniture, fixtures, and equipment) to use such properties more efficiently. The system has two basic elements: (1) each piece of property must be properly marked; (2) an accounting method must be established so that each piece of property is accounted for. The benefits of a property control system include:

1. Reduced capital expenditures. Records should show where assets are located, what they are, and how they are being used. Equipment needs can be evaluated, requests for new assets can be reviewed in terms of the entire department, and duplication of equipment can be avoided.
2. Reduced losses. Immediate inventory can be made to uncover disappearances, thefts, or unauthorized transfer since every item is positively identified by a property control number.
3. Increased operational efficiency. The need for a specific item of property can be determined if the system provides the location and use of all items. This enables efficient use of property and permits the elimination of unnecessary items.
4. Easier accounting. Accurate property control provides the central data for cost accounting.
5. Established responsibility. A property control system places the responsibility for each item with the bureau, district, section, or unit commander who is therefore held accountable for loss, misappropriation, maintenance, use and replacement.
6. Better servicing. Property control can be used as a basis for maintaining regular service schedules. Better maintenance results in better service from equipment plus higher trade-in allowances.

The property control system involves two distinct phases. The first phase is the initial labeling, identifying, and recording of the existing capital assets. The second involves the maintenance of the system as equipment is added, transferred, replaced, and destroyed.

Numbering System. The key to an effective identification numbering system is the assignment of a capital asset number to each item for its life. Regardless of the type of equipment or its location, the least confusing and, for this reason, the best numbering system is a sequence of consecutive serial numbers. The use of other techniques of numbering, such as block codes or color codes, limits the ease of expansion as new items are obtained. The use of the manufacturer's serial number as an item control number is not practical. Serial numbers lack order and uniformity, and many items do not have serial numbers.

Inventory. At least once a year, a departmentwide inventory should be taken. The most efficient technique would be a computer printout for each section of the department listing all items by property identification number, in numerical order by location. Sufficient descriptive data should be included to expedite the search for a specific item. Any discrepancies in an inventory should be reported to the appropriate authority. Inventories should be the responsibility of individual unit commanders, and their signatures attesting to the accuracy of the count and the condition of each item of the inventory should be sufficient for control purposes. In this procedure, supplementary inventories should be undertaken at each change of command, another practice which helps cut down on potential losses. File copies of inventoried items for which he is responsible and for which he has signed for should be retained by each unit commander.

A sample general order on capital asset inventory procedures is contained in the appendix.

Physical Control Procedure. A property control system should establish a physical control procedure which will identify the item, its location, the person responsible, the usage of the asset, and any maintenance or repair data. The following facts concerning each capital asset item should be properly listed on a capital asset record:

- Equipment numbers
- Description of item
- Location of item
- Date of purchase
- Cost of acquisition, including installation

- Depreciation method or replacement procedure
- Classification by asset category
- Condition of equipment
- Usage data

Control Over Supplies and Equipment

Although supplies and equipment utilized by the department appear to be fairly satisfactorily managed, we believe that a strengthening of the control system is necessary. All property and supplies including furniture and equipment should be signed out to each respective bureau, district, post, section and unit commander, and he should be held accountable for custody, use, and maintenance. Inventories of departmental property, supplies, furniture and equipment should be maintained accurately on a current basis at each bureau, district, post, section and unit. Security measures should also be enforced to insure that such items as tires, batteries, antifreeze, office supplies, oil, gasoline, and other expendable items or supplies are not appropriated for unauthorized use.

To insure that established property management systems are functioning appropriately, the Property and Evidence Control Section should establish control points over all property reports and should carefully monitor inventories and conduct on-site inspections to insure compliance with department orders and directives.

Each sworn officer and civilian employee of the department should be assigned a permanent chronological identification number by seniority of employment. This I.D. Number should be used for the issuance of all property to the officer and in the recording and tabulation of work performed by the officer. Badge numbers should only be used in conjunction with the issuance of the badge and for identification if the name is unknown. Badges change frequently and their use as permanent identification numbers in the accounting process of property and work statistics creates a costly, time-consuming and inflexible method of control.

Control Over Evidence and Recovered Property

No headquarters evidence storage room has been established nor has a secure evidence locker or room been designated in any of the field divisions. Evidence storage and control is unsatisfactory at best throughout the department. The lack of a centralized authority to perform staff supervision over the handling of evidence has encouraged an indifferent attitude toward the gathering, transporting and laboratory examination of evidence. IACP staff members found little evidence being stored, found unsatisfactory

storage procedures, and saw little indication of any amount of evidence such as that normally obtained at hit-and-run or fatality accidents having been gathered and transmitted to the State Crime Laboratory Bureau of the Law Enforcement Services Division, the FBI Laboratory or to any other crime laboratory.

Centralization, wherever geographically feasible, should be established in the custody and control of evidence and found property and specialized items of departmental property and supplies. The proposed Property and Evidence Control Section should review all existing rules and regulations regarding the custody, care, and control, and disposal of all evidence and found property. Wherever necessary, rules and regulations should be amended or new regulations drafted to effect and insure that proper management controls are maintained. The Property and Evidence Control Section should assist in the implementation of new control systems and should conduct frequent inspections of evidence and property storerooms to insure that department procedures are being properly carried out. Unauthorized storerooms should be prohibited, and new applications for new storerooms should be addressed to the Property and Evidence Control Section of the Administrative Services Bureau for inspection and approval.

Control Over Vehicles and Related Equipment

We recommend that a motor vehicle inventory number be assigned to each vehicle and that this number be used for control over each vehicle in lieu of the present officer's badge number and officer's badge number license plate. In addition, radio call numbers should be associated with the respective beats in each post and district area and should have no relationship to the vehicle inventory number. The use of officers' badge numbers as vehicle inventory numbers and on license plates destroys the flexibility for assignment and use of the vehicles between beats, posts, and districts according to need. A very serious management control device is also lost due to the fact that highway patrol units using badge numbers as radio call numbers, cannot be identified with specific beats in specific posts or districts of the state. Therefore, assigned units may stray many miles from their beats without fear of recognition from the various command levels of management which may be monitoring radio traffic. It is presently impossible for the chief or the commander of the Field Operations Bureau to ascertain from radio traffic that a field unit is functioning in his assigned beat within his respective post or district. The lack of this management control factor could seriously jeopardize the effectiveness of traffic selective enforcement and other highway safety program implemented from the headquarters level as well as routine beat patrol standards of productivity.

We propose that specific patrol beats be outlined in each post and district and that radio call numbers be assigned accordingly. The proper planning and assignment of these radio call numbers will identify the district captain, the post lieutenant, the various squad sergeants and the highway patrol officers by beat, squad, post and district. This plan has been considered by the IACP in accordance with our proposed numbering of the districts, posts, and sergeant squads and a proposed listing will be included in the uniformed patrol operations chapter of this report.

Serious consideration should also be given to the purchase and assignment of cheaper, perhaps compact vehicles to administrative personnel who have little use for a regular size, fully equipped highway patrol type vehicle. These administrative vehicles should be ordered in varying colors and they will need little more equipment in them than a radio and a portable emergency light. This should provide a considerable savings in the purchase of vehicles and auxiliary equipment.

We also propose that a staff study be conducted of the emergency equipment carried in each vehicle to ascertain the necessity for its issuance based upon experience of its use. For example, we believe that there is no real need to issue a 30-30 rifle to each highway patrol officer to carry in his vehicle. If the staff study discloses sufficient use, then the rifles might be considered for the cars of sergeants, lieutenants and captains. We propose that two or three rifles maintained in each district headquarters would be sufficient for emergency use. The shotgun issued to each officer will suffice for most all firearms incidents that might occur.

We further propose that there is little need to issue to administrative personnel much of the other emergency and operational equipment that is normally issued to field personnel.

The proposed Research and Development Section should be directed to perform a cost benefit staff study and make objective recommendations to the chief on each one of these controversial issues.

Recommendations

1. Analyze existing property control systems and strengthen by implementation of the proposed organization for property management as discussed in the text.
2. Strengthen controls over property by the implementation of the IACP proposed identification and accounting system.
3. Require annual inventories of all department property.
4. Require individual bureau, district, post, section and unit commanders to maintain inventories and to sign for, and be accountable for all property and supplies including furniture and equipment assigned to their command.
5. Require the Property and Evidence Control Section to monitor inventories and conduct on-site inspections to insure compliance with department orders and directives concerning supplies and equipment.
6. Assign each sworn officer and civilian employee a permanent chronological

identification number by seniority of employment and utilize this number for the issuance of all property to the officer rather than badge numbers. (The officers identification number should also be utilized in the recording and tabulation of work performed by the officer rather than badge number).

7. Require the Property and Evidence Control Section to review all existing rules and regulations regarding the custody, care, control, and disposal of all evidence and found property and revise to strengthen controls.
8. Establish appropriate evidence control rooms at patrol headquarters and in each district headquarters and require the Property and Control Section to conduct frequent inspections of each to insure that department evidentiary procedures are properly carried out.
9. Issue a motor vehicle inventory number to each vehicle for control purposes and discontinue the use of officer badge numbers and badge number license plates. This will provide flexibility in the assignment and use of all vehicles.
10. Initiate a system of geographical beats and utilize beat numbers as radio call numbers rather than officer badge numbers. See proposed list of radio call numbers included in the uniformed patrol operations chapter of this report.
11. Consider the purchase of cheaper, perhaps compact vehicles, of varied colors and with limited equipment to administrative personnel.
12. Require the Research and Development Section to perform an objective staff study on the question of issuance of 30-30 rifles to each sworn officer of the department. A cost benefit staff study should also be conducted to determine the need to issue field equipment and how much to administrative personnel.
13. Require the Automotive and Facilities Control Unit, working closely in conjunction with the Property and Evidence Control Section, to maintain centralized staff control over all vehicles and related automotive equipment and to develop a computerized maintenance plan over such equipment so that maintenance control and turnover can be improved.
14. Require the Automotive and Facilities Control Unit to maintain centralized staff control over all owned and rented facilities utilized by the department and to perform cost/benefit analysis studies of each facility.
15. Require the Automotive and Facilities Control Unit to improve location and directional signing to each Highway Patrol facility.

Section 11 - Control Through Public Relations

Before any real progress can be achieved toward attaining public support, the police must realize their increasing obligations for those conditions which contribute to the goals of voluntary citizen compliance and minimal enforcement. One of these conditions—the improvement of the administration and operations of the Montana Highway Patrol—is, of course, the general goal of this study report. Other conditions—developing public understanding of the consequences of speeding, other traffic violations, and crime; understanding public service needs; and building confidence in the Montana Highway Patrol—are unmistakable responsibilities of the force and the subject of this section.

The approach to an effective public support program must be twofold. First, the force itself must be informed and convinced that the image of the division depends upon the courtesy, efficiency and integrity of each individual officer. Members of the force must be made to realize that each surly comment, each sloppy uniform and each poor performance has a highly negative influence on the community's opinion of both the individual officer and the division itself.

The second approach requires a sound, open and factual program to present information to the public about the division. This may include a press program, meetings with citizen groups, public appearance, factual reports, displays, and tours of the division's facilities. Regardless of the type of program, the one essential ingredient is interaction between the highway patrol and the community they serve.

Present Public Relations System

Present public relations policy of the department is contained on page S5-38 and S5-39 of the Operations Manual and reads as follows:

"It shall be the duty of every patrolman to promote good public relations by giving assistance when it is needed or requested, by the impartial administration of the law and clean, sober and orderly habits."

The Safety and Education Section of the department, staffed with one captain and a clerk typist, has charge of all public information and public safety programs. A library of traffic safety materials is also maintained.

This section, recently upgraded from a Safety and Education Section supervised by a sergeant, is now charged with responsibility over the following functions:

- Public information and relations

- Safety education
- Planning
- Direct communications program
- Serve as department primary hearing officer on administrative rules and driver license revocations and suspensions
- Determine legislative needs
- Direct school bus inspection program

In reality, the section has devoted the majority of its efforts toward highway safety and education programs in addition to the development and dissemination of highway safety brochures and handouts covering many subject areas. The section has expended hundreds of hours of time in making safety and education speeches, showing safety films and conducting related activities throughout the state.

In the field, it was noted that among the highway patrol officers there were varying degrees of understanding as to who may make news releases, under what circumstances they may be made, and what specific types of information may be provided. We were informed that in many cases the sheriff of the respective county where the incident occurred has acquired information from highway patrol officers and made news releases on fatal accidents, etc., under color of their office. We strongly believe that all news releases concerning accidents or other incidents investigated by Montana Highway Patrol officers should be cleared through or released by the proposed Public Relations Unit for the chief of the highway patrol.

The present department policy on Unauthorized Disclosure of Information is contained on page S5-40 of the Operations Manual and reads as follows:

"All departmental business is confidential. Patrolmen shall not disclose this business to any person except those who may be entitled to such information or when directed by the chief or a captain. Patrolmen shall not write any article for publication or act as a co-author of any such article pertaining to the work of the department without written permission from the chief. Patrolmen shall be permitted to give out to newspapers or to the general public the same information regarding motor vehicle accidents which is required to be given by law from an accident report filed by such member. This will not bar members from giving additional information to attorneys or other persons who may become rightfully involved in such cases."

As noted in this order, no mention is made of arrest information or information concerning a criminal or other incident that a highway patrol officer may have been confronted with.

Proposed Organization for Public Relations

There is a great need to strengthen the public relations functions of the department. As noted on Chart 2.2 and discussed in the organization and span of control chapter of this report, it has been recommended that a Public Relations Unit, staffed with a civilian public information officer or a sworn officer, well trained in public relations matters, be organized under the office of the chief of the Montana Highway Patrol Division. The duties and responsibilities of the unit should be defined in a written directive and a new press release policy should be developed which will offer more detailed guidance to members of the department on matters pertaining to the release of information to the news media.

In addition, the functions of the news media should be a topic of recruit and in-service training so that all officers understand their role clearly in applying the department news media information policy.

Officers should clearly understand the difference between releasing permissible traffic and criminal case information and commenting upon or voicing opinions about the administrative operations and policies of the department.

Radio and television appearances and topic matter to be released by members of the department should ordinarily be cleared through the Public Relations Unit beforehand. File copies of all speeches should be maintained in this Unit.

Any public discussions or news releases concerning matters of department policy and procedure should be emphasized as being the exclusive right and responsibility of the chief, and all department members should be fully cognizant of this principle.

The public information officer commanding the Public Relations Unit should be responsible for the development and implementation of the following functions:

- Developing and formulating public information policy for approval of the chief
- Exercising departmentwide staff supervision over all aspects of public information with the approval and full support of the chief
- Opening channels of communication by establishing and maintaining

liaison with public and private agencies that have statewide jurisdiction and a desire or capability to contribute to positive police-public relations

- Planning, programming, and evaluating public information programs and projects
- Providing professional staff assistance in the field of police public relations to other departmental units and programs
- Coordinating with the Operational Programs Section of the Field Operations Bureau and the Highway Traffic Safety Division of the Montana Department of Community Affairs in the development and implementation of traffic highway safety programs and the publication of all news releases relating to the adoption of such programs and the enforcement efforts of the department relating thereto
- Coordinating with the West Area Field Command, the East Area Field Command and the Operational Programs Section of the Field Operations Bureau in the development and the implementation of enforcement programs and the publication of all news releases relating to the adoption of such programs and the enforcement efforts of the department relating thereto
- Coordinating and operating a "speaker's bureau" for the department
- Coordinating requests for public appearances of departmental personnel, scheduling speakers, assisting speakers in the preparation of outlines for all talks and the development of appropriate visual aids, and providing public notice of the availability of the service
- Writing and publication of department in-house journals, newsletters, public information pamphlets, bulletins and booklets; providing photographs on request; providing other units or departments with literature and materials; providing display materials; editing and posting the department annual report; and other duties as assigned by the chief

The following is a guide which is suggested for use in the development of a revised departmental policy on the release of police information:

- The news media perform an important service for the public which

should be clearly understood by police officers. It is a function of the news media to keep the public informed on matters of public interest including the activities of department officials and employees of the state government.

- While police officers must exercise discretion with respect to information of a nature that cannot and should not be divulged, it is equally important to release promptly to representatives of the news media such information as is permissible.
- Cooperation with accredited representatives of the news media and other accredited publications is extremely important in promoting good public relations. A cooperative attitude and a courteous explanation, when necessary, will usually result in a more desirable presentation of the facts from the police viewpoint.
- The news media should be notified when an event being investigated is of such a spectacular or unusual nature as to stimulate general community interest.
- The Public Relations Unit should be responsible for maintaining close liaison with members of the news media. It should assist them in obtaining and gathering accurate information on matters concerning the department.
- Information should be released to the news media unless to do so would interfere with the investigation or prosecution of the case or the fair trial of the defendant. However, agreement should be reached with the management of the news media as to the kind of situations which would warrant a "no publicity" label.
- Prisoners should not be compelled to be photographed by members of the news media.
- Every effort should be made to release current information without partiality. Information should not be withheld or delayed in order to favor any particular news representative agency.
- Authorized news media representatives should be issued press cards. When not known, they should be required to identify themselves by this means.
- Teletype messages and accident, case, miscellaneous incidents, and

arrest reports should be open for inspection by representatives of the press or other news media when not urgently needed for police purposes. Arrest record information should not be divulged except with specific permission of the chief.

- Although members of the press and other unauthorized persons should not be allowed to enter departmental records areas or be given access to departmental record files, every effort should be made to provide an accessible room or area wherein news media personnel can review authorized police reports. It is suggested that such reports be made handy to press personnel by means of a clipboard or other device.

A sample news media relations and public information policy prepared by the State of Delaware Department of Public Safety, Division of State Police, in coordination with the IACP is included in the appendix. As noted on page 2 of the appendix item, portions of the policy were adopted from the Policy Manual of the Los Angeles Police Department, 1972, to meet Delaware State Police requirements.

Community Relations Responsibilities

As a priority item, it is important initially to develop a written policy directive clearly delineating the position of the department with respect to police-community relations. The directive should be designed to set aside all fears of variable standards of law enforcement in the state community. It should be designed to encourage public cooperation with the state highway patrol and leave no doubt or question as to any violator receiving fair and impartial treatment.

The Public Relations Unit in coordination with the Operational Programs Section and the State Traffic Safety Division should be responsible for the planning, coordination, and carrying out of the following responsibilities:

- Staff supervision of all aspects of police-community relations on behalf of the chief
- Development of community relations policies for approval by the chief
- Identification and specific definition of external and internal community relations programs
- Development of proposed solutions to community relations problems for approval by the chief

- Assistance to operations personnel in carrying out programs designed to promote cooperation and understanding within the state community
- Performance of staff functions for the chief in fostering participation by operational personnel in the community relations effort

Recommendations

1. Organize the proposed Public Relations Unit and assign staff supervisory responsibility over departmental public relations and community relations programs as proposed in the text.
2. Revise and expand the present unauthorized disclosure of information policy to provide more definition of policy and give greater guidance to all members and employees of the department.
3. Clearly define the public relations policy of the department.
4. Develop a written policy directive clearly delineating the position of the department with respect to police-community relations.
5. Develop a departmental community relations program designed to include every officer and employee of the department.
6. Utilize recruit and in-service training to provide all officers a clear understanding of their role in applying the newly developed news media relations and public information policy, public relations policy, and community relations policy developed for the department.
7. Assign expanded public relations and community relations functions to the Public Relations Unit as recommended in the text.

Section 12 - Administrative Filing System

Present System

A centralized administrative file is maintained by the administrative secretary to the chief of the Montana Highway Patrol. This is a well kept fairly complete file containing correspondence dating back for five or six years. Older files are in storage in another building under the control of the state.

Contents of the files are alphabetized by subject matter under the following broad headings:

- Highway Patrol Bureau
- County File
- State File
- Foreign Countries
- Miscellaneous File (AAMVA, IACP, etc.)
- Montana Departments
- Department of Justice

General correspondence procedures are covered in separate orders contained in the Operations Manual under the following subtitles: external correspondence of highway patrol, correspondence copies and filing, authorized stationery, internal correspondence, addressing correspondence to patrol headquarters, correspondence to field personnel, and correspondence with patrol chief. The orders, composed of one or two sentences, are brief and to the point, but in most cases provide insufficient guidance. For example, the order on filing reads as follows: "All copies of correspondence whether external or internal shall be filed in a neat and usable manner."

IACP staff members found varied systems and varied quality of correspondence filing systems in each field division headquarters and in each headquarters administrative office.

While the present headquarters administrative file is in excellent order and shows good effort in its maintenance, we do not believe that it goes far enough. This is especially true under the proposed organization for the department and the changes in responsibilities which are being recommended for the various bureau, district, post, section and unit commanders. There is also a need to centralize a staff supervisory responsibility—under the chief's office—over all administrative filing systems maintained throughout the department. We propose that the new system being recommended will provide a more complete standardized system for all administrative filing systems authorized to be maintained throughout the department and it will provide a complete centralized and standardized master file which should provide the chief with instant recall of any document filed therein no matter which secretary or clerk may be on duty.

Proposed Administrative Filing System

The assignment of responsibility over the departmental administrative filing systems is difficult, particularly when the filing system is not physically centralized. The size of the Highway Patrol Division creates the need for bureau, district, post, section and unit commanders to maintain administrative records which are subsidiaries to a main file. These subsidiary files should be smaller versions of the master file and should precisely copy the format of the latter. However, the subsidiary files do not require the specification and subclassification of the larger files. Material in these files should be restricted to correspondence or memoranda originated by or directed to the office concerned.

We propose that the administrative filing system be the concern of the chief and that it be maintained by the administrative secretary to the chief. This file should be regarded as the master administrative file for the department, and all other authorized subsidiary files should be smaller versions of the master and should precisely copy the format except that each office should only retain those materials directed to or of specific interest to that office.

The chief's secretary should prepare a skeleton format of the new administrative filing system for each subordinate commander of the department who is authorized to maintain administrative files. She should assist in the implementation of the new filing system and should exercise staff supervision over the proper maintenance and purging of the respective files. A sample General Order for the establishment of the new administrative filing system, which includes a master outline for the administrative file, is included in the appendix to this report.

Correspondence. A copy of all correspondence of an administrative nature, as opposed to a police case, should be retained in the administrative file in addition to that filed in the originating office.

All official outgoing correspondence containing matters relating to the official business of the department or its members should be reviewed and signed by the chief. Certain form letters of correspondence of a repetitive nature may be expected. Letters relating to traffic, police incidents, or matters falling under their specific jurisdiction may be signed by bureau commanders by using a double signature block. In these cases, a copy of the correspondence should be placed in the appropriate complaint number file. It should be stressed that the complaint file and other files dealing with operational matters are not administrative files. No case reports or correspondence dealing with specific traffic offenses should be placed in the administrative file.

Bureau commanders may delegate authority to their section and unit commanders to sign letters relating to traffic, police incidents, or matters falling under their specific jurisdiction. Such letters would also be signed with a double signature block. No member or employee below the rank of unit commander should enter into official departmental correspondence over his own signature.

Persons initiating correspondence should identify themselves by adding their name to the left portion of the page opposite the official signature block as action officer.

Filing System. The recommended administrative classification systems consists of eight major divisions. These are general in nature and broad enough to include all subjects filed. The addition of other major subject categories should not be authorized. The major categories are divided by fifth-cut pressboard metal tab filing guides with the category designation on the first position. Material is held in kraft or manila folders, third-cut. Primary subdivisions are indicated on the first position, secondary on the second position, and tertiary on the third position. The following are different examples of the file codes taken from the master outline:

Major	ADM	Administration
Primary	ADM 4	Budget
Secondary	ADM 4-2	Purchasing
Tertiary	ADM 4-2-1	Purchase Requisitions

The file folders can be prepared by typing the classification code and description on gummed roll-labels.

Classifying. The originating unit is responsible for properly classifying its documents and placing the classification in the upper-right-hand corner. The initial step is to determine the main subject of the document. Many records are given a subject designation by the originator, such as that which appears in the standard memo format. Some papers, however, may require reading segments of the record to make a proper determination. Next, the classification is added. It is not necessary to include the verbal description of the subject, such as "Purchasing," but only the major category and code numbers. Examples: ADM 5; PERS 3-2; OPS 4-5.

This is exclusively a subject file system. The office, agency or person who originated or received the document is not relevant to the classification. For example, a bureau commander sends the chief a report on one-man patrol cars, the proper classification should be "Patrol Methods," and not "Planning," "Memos to the Chief," or some other non-subject classification. Material collected over the previous two-year period and currently in the administrative files should be reclassified according to the master outline.

Material presently in the files should be removed, classified, coded and sorted by subject matter within the limitations of the master file.

Cross-Referencing. The need for cross-referencing may arise under two conditions—first, when two or more subjects are covered in one document; and second, when the subject matter is clearly not discernible. In either case, the cross-reference

sheet shown below should be used.

	Cross Ref. No. _____
	Date _____
CROSS REFERENCE SHEET	
Main Subject:	Date of _____
To:	Filed Under _____
From:	
Brief Summary:	

Cross-references are indicated on the original document by placing a second (or third) code beneath the first code as follows:

	ADM 6 X PERS 2-2
To:	
From:	
Subject:	

Next, a cross-reference sheet is filled out and filed under PERS 2-2, making reference to the record filed under ADM 6.

Cross-reference sheets should not be considered as records. They are simply tools, and should be printed in a distinctive color to facilitate removal from the files. There should be no limit to the number of cross-references that may be made for a single

record. However, this process should only be employed when absolutely necessary. Cross-referencing is designed to make filing and searching easier, and therefore, the process should not become a major task impeding normal filing operations.

Only one person should have the responsibility for placing material in the master administrative file. A tray should therefore be provided for temporary storage of documents awaiting refiling.

Recommendations

1. Review and amend correspondence filing procedures in accordance with the recommendations contained in the text.
2. Adopt the administrative filing system and incorporate the file classifications as described in the text and included in the appendix. Note: The eight major divisions of the administrative filing system will correspond to the recommended eight major divisions of the new manual of rules and regulations.
3. Assign staff responsibility over the departmental administrative filing system to the chief's administrative secretary as recommended in the text.

Section 13 - Legal Advisory Functions

"In recent years the criminal law has become increasingly complex. The appellate courts have dramatically enlarged their supervision over law enforcement agencies in opinions that reflect a heightened concern with the detail and routine of policing. These opinions have narrowed the range of police behavior and demanded more refined judgments at the earliest stages of an investigation. More and More, these initial judgments—especially regarding admissions, confessions, and searches—serve to determine the ultimate disposition of the case. A mistaken conclusion by a patrolman, usually the first officer on the scene, is often irremediable, dooming an entire investigation, particularly if the error invokes one of the exclusionary rules. The short story is that today cases are 'harder to make.'"³

Given the state of present law enforcement, "...police'administrations should be provided with in-house legal advisors who have the personal orientation and expertise necessary to equip them to play a major role in the planning and in the development and continual assessment of operating policies and training programs."⁴

³The President's Commission on Law Enforcement and Administration of Justice, Task Force Report: The Police (Washington, D. C. :U.S. Government Printing Office, 1967), p. 63.

⁴American Bar Association Project on Standards for Criminal Justice, Standards Relating to the Urban Police Function (New York: American Bar Association, 1972), p. 238.

The President's Commission on Law Enforcement and Administration of Justice recommended that departments of 250 men or more should have full-time legal advisors,⁵ whereas the National Advisory Commission on Criminal Justice Standards and Goals recommends that all police agencies with 200 or more personnel have a full-time police legal unit.⁶ The IACP Police Legal Center currently recommends a police legal unit as mandatory in a department of 250 or more sworn personnel and discretionary for smaller departments.⁷

Present System

The present legal officer of the Highway Patrol is a civil attorney who is employed part-time (one-half time employee) by the Motor Vehicle Division of the Department of Justice. Employed under the title of assistant to attorney general, he provides legal support to the Montana Highway Patrol (approximately 90 percent of his half time employment) and legal support to the Registrar of Motor Vehicles (approximately 10 percent of his half time employment). He is a permanent part-time employee and pays into the state personnel retirement system.

The department legal officer has a desk in the office of the chief of the Highway Patrol and he reports to this office daily for work assignments.

Present functions of the legal officer include:

- Administers driver license petitions, appeals, suspensions, revocations, etc.
- Serves as a hearing officer on driver license petitions, appeals, suspensions, revocations, etc. Represents these cases in court as representative of the Highway Patrol.
- Manages internal review board in departmental disciplinary cases.
- Investigates complaints against departmental personnel as requested by the chief. Coordinates such investigations with captains of field divisions. Prepares state's cases, etc.

⁵The President's Commission on Law Enforcement and Administration of Justice, Task Force Report: The Police (Washington, D. C.: U.S. Government Printing Office, 1967), p. 66.

⁶National Advisory Commission on Criminal Justice Standards and Goals, Police (Washington, D. C.: U.S. Government Printing Office; 1973), Standard 11.2, p. 285.

⁷The University of Wisconsin Police have a full-time legal advisor serving thirty officers.

- Advises department personnel on legal issues on behalf of the department, but does not handle individual cases for them.
- Provides advice to the chief on civil suits, criminal actions, etc., involving the Highway Patrol or one of its members or employees.
- Conducts six to eight hours of training in each academy class of new recruits on legal aspects of departmental operations, court procedures, etc.
- Reviews legal aspects of specific orders, procedures, etc., when requested by the chief.
- Performs other related duties as directed by the chief.

Proposed Legal Advisory System

The Montana Highway Patrol presently and under the newly proposed organizational structure will have lay personnel working on subject matter which should require legal expertise to approve the final product. Such areas include: legislative review, statutory review, administrative code, departmental rules and regulations, traffic and criminal law instructions, arrest and evidence procedures, service of legal process, training, etc. These are a few examples wherein a full-time legal officer is needed and should be utilized.

We propose that the Montana Highway Patrol Division employ a full-time legal officer assigned directly to the chief. If the present part-time legal officer cannot be employed full time, then the department should first look at the personnel records of all sworn officers and civilian employees to ascertain if one of them is involved in legal training and has passed the bar examination in Montana or is nearing graduation from a law school.

To accomplish the transition from a part-time to a full-time legal officer, the following budget considerations should be addressed:

1. Legal officer salary
2. Legal officer office space
3. FICA

4. Retirement
5. Other insurance
6. Workman's Compensation
7. Vacation
8. Legal officer training
 - a. Workshops
 - b. IACP training courses for legal officers
9. Membership fees
 - a. IACP
 - b. IACP Legal Officers Section
 - c. Bar associations
 - d. Montana Association of Chiefs of Police
10. Telephone
11. Printing
12. Postage
13. Library costs
 - a. Montana legal publications
 - b. Digests

- c. IACP publications
 - d. Reporter systems
 - e. Legal encyclopedias
14. Vehicle expenses
15. Radio equipment for response capabilities

The above items are certainly not exhaustive for budget items. Furthermore, the department may wish to incorporate the new legal officer into its existing benefit structure, or the department may hire a legal officer on straight contract.

The legal officer functions should include:

1. Provision of legal counsel to the Highway Patrol chief in all phases of administration and operations.
2. Liaison with county prosecutors, the state attorney general, the United States attorney, the courts, and the local bar association.
3. Review of general orders, training bulletins, and directives to insure legal sufficiency.
4. Case consultation with arresting officers and review affidavits in support of arrest and search warrants in cooperation with the various prosecutors' offices.
5. Advisory participation in operations where difficult legal problems can be anticipated.
6. Attendance at major incidents and an on-call status for minor ones to permit rapid consultation regarding legal aspects of the incident.
7. Participation in training to insure continuing legal training at all levels within the agency.

8. Drafting of procedural guides for the implementation of recent court decisions and newly enacted legislation.
9. Provision of legal counsel for ad hoc projects, grant proposal development, and special enforcement problems.
10. Assistance in personnel practices.
11. Review and/or preparation of legislation.
12. Legal support to driver licensing services.
13. Other areas the chief deems appropriate.

Legislative Analysis. In addition to his other duties, the legal officer should perform legislative analysis functions for the chief of the Highway Patrol. In accomplishing this task, there should be close coordination between the legal officer and the Research and Development Section. Examples of legislative functions that should be assigned to the legal officer are listed as follows:

- Function as legislative coordinator for the Montana Highway Patrol Division.
- Receive all legislative proposals originating from within the Montana Highway Patrol Division and process them in accordance with policies of the chief.
- Perform administrative coordination over all legislative matters of interest to the department.
- Review all pending legislation and plan testimonial support, etc., or opposition in accordance with the aims or desires of the department.
- Perform bill analysis and insure compatibility with the chief and attorney general's views.
- Perform liaison with key legislators, legislative committees, and legislative leaders.
- Provide information to the legislature upon request.

- Prepare letters of opposition or support for the chief and the attorney general.
- Coordinate pending legislation with other departments.
- Draft new legislation which is of interest to the Montana Highway Patrol Division.
- Prepare administrative letters, memoranda, and informational bulletins for distribution to other law enforcement agencies regarding legislative matters requiring their interest and/or support.
- Perform related duties as directed.

It should be noted that the IACP Police Legal Center conducts frequent legal officer training seminars in different geographical regions of the country and in addition, has prepared a considerable amount of training materials on legal officer functions. The IACP Police Legal Center is also available for assistance in implementing a full-time legal office for the Montana Highway Patrol.

Recommendation

Organize, staff, and assign functions to a full-time legal office as proposed in the text.

Section 14-Relationships With Other Agencies

Formal cooperation and coordination with other police departments and agencies involved in the criminal justice system are important factors in improving the quality and efficiency of state law enforcement. Traffic offenses, criminal offenses, and delinquency have all become highly mobile and cannot be confined within artificially created political boundaries.

The quality of law enforcement at the state level can be improved with an effective program of formal liaison, cooperation, and support between law enforcement agencies with common interest. Although cooperation and coordination with other police agencies are desirable in most functional police activities, they are particularly important in connection with the preparation and execution of emergency plans and operations requiring combined police operations. Police operations at the scenes of such emergencies can be made more effective when formal, mutual assistance emergency plans have been prepared in advance.

There is a direct relationship between and among the functions of liaison, planning and combined police operations. For this reason, we recommend that these functions be assigned to the Research and Development Section, where they can be most effectively coordinated.

The Montana Highway Patrol has engaged in cooperative relationships with other agencies on an informal basis. The Personnel and Training Section has trained personnel from adjacent jurisdictions in various classes at the Highway Patrol Academy and at the pistol range. This section has also worked very closely with the various colleges and universities throughout Montana. Personnel assigned to the field divisions assist other law enforcement officers whenever help is needed. In general, the Montana Highway Patrol stands ready and willing to assist other law enforcement agencies throughout the state whenever requested and on all matters except those specifically prohibited by Montana statute.

Although this cooperative spirit is well intended, little progress has been made in preparing formal mutual aid or cooperative working agreements with other police agencies. At the time of the fieldwork for this study, the department had not clearly fixed the function of liaison with other law enforcement agencies. It is essential that effective liaison be established on a formal and continuing basis with the various sheriff's departments in the state, the various municipal police departments in the state, the National Guard, the various Indian Law Enforcement Agencies, U.S. Park Rangers, Bureau of Land Management Agents, adjacent state law enforcement agencies, and other agencies wherein working agreements or mutual aid agreements would be beneficial.

The ability of the Montana Highway Patrol to interact with other law enforcement agencies is directly related to the confidence other agencies have in the force. When a department member is actively engaged in developing and coordinating interagency plans, and is supported by a strong organization and well-trained personnel, the leadership exercised by the Montana Highway Patrol will be greatly reinforced.

The state had developed a Montana Disaster and Emergency Plan; however, it is written at the "Department" level and only spells out duties and responsibilities of the Department of Justice without being specific as to the role of the Montana Highway Patrol. We believe that the Montana Highway Patrol, the law enforcement arm of the state, has a definitive role in the Disaster and Emergency Plan. As written, it would be very difficult for the Highway Patrol to plan or provide specific training on its role in the overall plan. We believe that an additional annex or an appendix should be written to the plan which specifically defines the role and outlines duties and responsibilities of the Highway Patrol in support of the master plan.

A sample Police Mutual Aid Agreement developed by the Metropolitan Washington Council of Governments is included in the appendix to this report for your information and use. The agreement includes:

- Police Mutual Aid Agreement
- A first amendment adding additional parties to the agreement
- A second amendment adding additional parties to the agreement
- Police Mutual Aid Operational Plan with attachments
- Narcotics amendment

The proposed Research and Development Section should do much to expand the planning role of the department. The lieutenant in charge of this section will be in an excellent position to determine the program needs of the department and to investigate the possibilities that exist to obtain funding from government or private foundations. Such funding should be used to finance all or part of the newly developed programs.

Recommendations

1. Develop formal mutual assistance emergency plans and cooperative working agreements with surrounding police agencies as proposed in the text.
2. Assign planning, coordination and liaison responsibilities to the Research and Development Section as discussed.
3. Conduct an intensive period of in-service training to insure that all personnel understand their duties and responsibilities as described by these mutual assistance emergency plans and cooperative working agreements.

V

PERSONNEL ADMINISTRATION AND TRAINING

The quality of personnel is directly related to the success of any law enforcement agency. Proper selection, training, motivation and supervision are techniques utilized to develop a new employee into a polished, sophisticated, and well-qualified asset to the organization. This process—personnel administration—is an integral part of management and must be fully understood and supported by the police administrator. It cannot function in isolation from the total administration of an organization.

The personal nature of police service demands that only the most qualified persons be selected as police officers. It also requires that police officers be trained in the broad and diversified science of law enforcement, that their efforts be properly evaluated, that they be firmly and fairly supervised, that the opportunity for advancement be offered those with the most ability, and that they be compensated in accordance with the soundest known principles of personnel administration.

Section 1 - OrganizationLegal Basis for the Personnel System

The responsibility for the Montana Highway Patrol personnel administration system is contained within Title 31-1947 as amended. This law creates the Montana Highway Patrol and spells out the policies and procedures by which it operates. The law formerly created a Montana Highway Patrol Board which controlled and supervised the Highway Patrol, but under Section 82A-1201 of the session laws of 1971 a department of justice was created with the attorney general as its head; 82A-1204 created a division of motor vehicles within the department; 82A-1205 abolished the Montana Highway Patrol Board, and its functions (except the function of appointing the Highway Patrol chief which was transferred to the attorney general), were transferred to the division of motor vehicles; and 82A-1206 transferred the functions of the highway patrol to the division of motor vehicles.

Detailed policies and procedures governing the personnel system of the Montana Highway Patrol are contained within the State of Montana Administrative Code, Chapter 6A11, pages 23-71 through 23-106, and the Operations Manual of rules and regulations published by the Montana Highway Patrol.

Present Organization and Function

Personnel and training functions of sworn personnel of the department are carried out through a Personnel and Training Section staffed with one captain and a part-time secretary whose services are shared with the assistant chief. In accordance with the administrative organization order contained in the department Operations Manual, this section has charge of uniformed personnel files and is responsible for the planning and supervision of all recruiting, and in-service training for all uniformed officers of the department. Training for outside agencies when requested is also the responsibility of this section.

Personnel and training functions of civilian employees of the department are carried out under the supervision of the major commanding administrative and driver service functions. This section maintains the personnel files of all civilian employees and is responsible for hiring, training and for the most part supervising their work.

Although the staff assigned to the Personnel and Training Section is extremely limited, the section has provided outstanding support to the department. Examples of major operational accomplishments of the section from 1973 to date in 1978 are listed below:

1973	19th Recruit School 34 completed 1 turned down appointment 1 killed on duty while a probationary patrolman 32 hired 19 officers promoted 3 officers resigned 3 officers retired 1 officer terminated (probationary patrolman)
1974	20th Recruit School 14 completed 8 hired 6 on standby list 4 officers promoted 2 officers resigned 3 officers retired 1 officer deceased (medical)

1975 No Recruit School
 6 standby from 1974 School

6 hired
 2 officers promoted
 1 officer resigned
 5 officers retired

1976 21st Recruit School
 18 completed
 10 hired
 8 on standby list

1 officer promoted
 2 officers resigned
 5 officers retired
 1 officer terminated
 1 officer deceased (medical)

1977 No Recruit School
 8 standby from 1976 school

8 hired
 11 officers promoted
 3 officers resigned
 5 officers retired

1978 To present 8/18/78
 22nd Recruit School
 19 completed (15 males, 4 females)
 9 hired
 10 on standby list

4 officers promoted
 1 officer resigned
 5 officers retired
 1 officer retired (medical - injured in line of duty)
 1 officer deceased - shot in line of duty
 1 officer on detached duty

Analysis

The present system of splitting the personnel functions of sworn members and civilian employees creates duplication of effort, causes frustrations and concern regarding

recruitment and assignments, raises serious questions as to who supervises who and forces the chief to deal with two personnel command officers. The system also allows for diverse standards of personnel administration between the two sections. For example, the personnel files of the sworn officers contained in the Personnel and Training Section are fairly well maintained while on the other hand the civilian employee files maintained in the Administrative and Driver Licensing Section are fragmentary and lack fingerprint cards, background investigation reports, and other such reports that should be contained therein. The application for employment is also very brief and does not contain arrest information or other pertinent data which should be required for employment with a law enforcement agency.

Because of the decentralized nature of the department, a problem also exists in getting all of the necessary items from the sublevels to the central personnel files. The problems could be compounded by the fact that the field divisions also maintain individual personnel files, some of which may be unnecessary duplications. Policy should be clarified to the newly proposed district commanders to insure that information of a personnel nature will be sent to the Personnel and Training Section for placement in individual personnel files. Conversely, items that would be of interest to the individual should be channelled down through the chain of command to be brought to his attention. Personnel files maintained at the new district headquarters should be narrow in content and should avoid being duplicates of the central personnel files.

The greatest area requiring improvement in the department lies within the area of training. The training of personnel, both sworn and civilian, should be considered of the highest priority. The demands for more departmental training require the assignment of one training sergeant on a full-time basis. Specific recommendations regarding the training effort are discussed in subsequent portions of this chapter.

Proposed Organization

The Personnel and Training Section organized under the Administrative Services Bureau should be commanded by a lieutenant and staffed with one training sergeant and one full-time personnel secretary. This section will be responsible for staff supervision and control over all personnel and all training functions of the department as approved and directed by the chief of the Montana Highway Patrol.

Typical duties carried on by a well-rounded personnel office in an operating agency of government have been listed by O. Glenn Stahl in his book on Personnel Administration and are listed as follows:¹

¹O. Glenn Stahl, Personnel Administration, 6th Edition. New York, New York: Harper and Row Publishers, 1971, p. 381-383.

1. Policies and instructions: developing these in all areas of personnel administration, for management approval, and promulgating them in usable form.

2. Job analysis and evaluation:
 - a. Assisting supervisors in developing facts about new or changed positions.
 - b. Evaluating positions in accordance with class standards.
 - c. Developing or interpreting class standards.
 - d. Contributing to analysis of organization problems.

3. Staffing:
 - a. Ascertaining and organizing staffing needs for recruitment purposes.
 - b. Working with the central personnel agency in establishing qualification and testing standards; developing and administering tests in specialized areas peculiar to the agency, or organizing boards of examiners to do so; participating in developing sources of qualified candidates; requisitioning lists of eligibles.
 - c. Investigating work histories of persons outside the agency.
 - d. Maintaining a qualifications index on present employees; checking with other agencies for candidates when necessary; referring candidates as vacancies occur.
 - e. Assisting the selecting and appointing officials in evaluating candidates from inside the agency, from other agencies, or from examination registers.
 - f. Processing appointments, promotions, and other actions; checking for adherence to law and regulation.
 - g. Interviewing and corresponding with all applicants and employees interested in placement.
 - h. Evaluating placements through follow-up inquiry.

4. Salary and wage administration:
 - a. Where discretion is authorized, making wage and salary studies as the basis for setting pay scales; or interpreting and executing relevant provisions of laws on compensation.
 - b. Convening and guiding negotiations with employee unions on pay matters.
 - c. Administering special pay provisions for satisfactory service, for outstanding performance, for geographic, cost-of-living, or hazard differentials, and for movement from job to job.

5. Employee relations:

- a. Advising management on all administrative matters that affect human motivation and morale.
- b. Counseling with employees and supervisors on human relations problems.
- c. Sponsoring suggestion programs and other means of eliciting employee participation in work improvement.
- d. Arranging for provision of adequate health services.
- e. Maintaining a safety education program; facilitating provision of injury compensation.
- f. Checking on adequacy of physical working conditions.
- g. Establishing machinery for adjustment of grievances, and umpiring its use.
- h. Establishing and maintaining employee representation plans; meeting with employee unions on personnel policy questions and in developing policy.
- i. Interpreting leave policy.
- j. Assisting in or providing recreation and other services.

6. Performance standards and evaluation:

- a. Assisting supervisors in making and recording objective appraisals of employee performance.
- b. Directing and assisting in setting up performance standards.
- c. Guiding the staff in focusing efforts on performance development and improvement.
- d. Stimulating use of various forms of employee recognition.

7. Staff training and development:

- a. Analyzing and pointing up training needs; conducting training methods research.
- b. Working with supervisors in perfecting on-the-job training techniques, in organizing group training, and in evaluating training.
- c. Planning and conducting such orientation, supervisory, clerical, and other training as can best be handled centrally in the agency.
- d. Maintaining liaison with outside educational institutions on preentry training curricula and on supplementary in-service training.
- e. Preparing training materials.
- f. Encouraging or developing "house organs."

8. Separation:
 - a. Conducting exit interviews.
 - b. Advising on and processing retirements.
 - c. Conducting reductions in staff in accordance with policies and rules.
 - d. Advising supervisors on disciplinary suspensions and removals.

9. Employee rights and obligations: keeping employees informed of various rights and obligations pertaining to their public employment status.

10. Records and reports:
 - a. Maintaining statistical records on employee population, turnover, and movement.
 - b. Maintaining all files on employee work histories.
 - c. Reporting to top management, supervisors, and employees on all developments that affect or potentially affect the human resources and morale of the agency.

11. Personnel research:
 - a. Conducting attitude surveys.
 - b. Studying testing, interviewing, and rating devices.
 - c. Analyzing exit interviews, turnover, absences, and tardiness.
 - d. Improving forms and procedures.

12. Public relations:
 - a. Presenting information on personnel operations of interest to the public.
 - b. Conducting helpful, considerate correspondence in reply to all inquiries.

It is suggested that these same duties may generally be applied as typical personnel duties assigned to the Personnel and Training Section. This outline of course does not take into account the time-consuming special fields of personnel concern that are incidental to one or another of the activities listed.

Training duties assigned to the sergeant of the Personnel and Training Section should include:

1. Recruit training and administration of the field training officer programs.
2. Administration of roll-call training and in-service training courses such as specialized, pre-assignment, and advanced programs.
3. Supervision and management training programs.
4. Coordination with the lieutenant supervising personnel functions in processing the department's career development programs.
5. Firearms training.
6. Training of instructors.
7. Performance evaluation on trainees and probationers.
8. Refresher training.
9. Riot control training.
10. Outside training.
11. Preparation of training orders, training courses, training manuals, and other training materials for approval by the chief.
12. Continuing training research.

Recommendations

1. Reorganize and staff the Personnel and Training Section as outlined in the text.
2. Centralize all personnel functions and all training functions for both sworn members and civilian employees under this section.

3. Assign personnel and training duties to the section as recommended in the text.

Section 2 - Recruitment

The Montana Highway Patrol enjoys a good reputation in the public eye and therefore has experienced few problems in recruiting qualified personnel. In addition, the state-wide nature of the department offers a wide recruiting base.

We propose that the department continually strive to raise the standards required of Montana Highway Patrol officers. High standards will upgrade the general knowledge, expertise, initiative, and integrity of the department and will contribute greatly to improved traffic control. A list of desirable personal qualities for police officers was established by the Berkeley, California Police Department and are listed here for your information and use in recruitment programs.

- Initiative and integrity.
- The ability to carry a great deal of responsibility and to handle difficult emergency situations alone.
- Social skills and the ability to communicate effectively with persons of various cultural, economic, and ethnic backgrounds.
- The mental capacity to learn a wide variety of subjects quickly and correctly.
- The desire and ability to adapt to technological and sociological changes.
- An understanding of people and a desire to help those in need.
- The emotional maturity to remain calm and objective and to provide leadership in emotionally charged situations.
- The physical strength and endurance to perform these exacting duties.
- Freedom from prejudices which might interfere with the proper execution of responsibilities.

The recruiting process should be designed to attract applicants with such qualities, and the selection process should be designed to screen out applicants who lack such attributes.

Proposed Recruiting Methods

The department should expand the use of conventional recruiting techniques, beginning with emphasis on contacting universities and colleges for prospective candidates. Newspaper, radio, and television exposure should be continued and expanded. Recruiting brochures describing desirable qualities, employee benefits which can be achieved, and the nature of the work should be improved. Recruiting brochures should be designed in an attractive and professional fashion that will attract qualified men and women, including members of all minority groups, desiring career opportunities. The brochure should cover all positions, both sworn and civilian. Once developed, the material should be distributed throughout the state to institutions of higher learning, military installations, and the like.

Recommendations

1. Design attractive printed professional brochures for the recruitment of both sworn personnel and civilian employees, male and female, as well as members of all minority groups.
2. Adopt the recruiting methods proposed in the text.
3. Emphasize the recruitment of quality candidates and initiate recruitment efforts at colleges, universities, military organizations and like organizations.
4. Consider an employee referral incentive program.
5. Insure that the department has a written Affirmative Action Plan and that it operates in conformance therewith.

Section 3 - Selection

Section 23-2.6AII(2)—S620 of the State of Montana Administrative Code lists the following policies to govern members in regard to the processing of all applications for uniformed positions with the Highway Patrol. Statutory requirements of Section 31-105, R. C. M. 1947 as amended, setting forth standards to be utilized to select personnel of the Montana Highway Patrol are included within the list.

1. Minimum qualifications—set forth below are the minimum qualification requirements that must be satisfied before any person may be considered for a position with the Highway Patrol:
 - a. Age—Between 22 - 35
 - b. Height—Minimum 5'10" (without shoes) Maximum 6'4"
 - c. Weight—Minimum 154 pounds; Maximum 255 pounds
 - d. Physical and Mental Condition—Excellent physical and mental condition - no existing physical or mental handicaps or ailments
 - e. Education—High school graduate
 - f. Prior experience—No prior police experience required
 - g. Physical appearance—Must present neat physical appearance, no disfiguring scars or blemishes
 - h. Driving ability—Must be capable of operating a motor vehicle and possess a valid Montana driver license
 - i. Driving record—No convictions for offenses requiring revocation or suspension of driver's license
 - j. General reputation—Must have a good moral character and a good reputation in his community
 - k. Citizenship and residence—Must be a U.S. citizen and a resident of Montana for one year immediately prior to appointment. (Time spent in military service by Montana resident is considered Montana residency.)
2. Application
 - a. Application form PS-1A-1-59, shall be completed and submitted to patrol headquarters by the applicant

- b. The applicant shall submit as part of his application the following documents:
 - i. Full length photograph of applicant
 - ii. Applicant fingerprints on FBI form FD-258
 - iii. A certified copy of the applicant's birth certificate
 - iv. Verification of citizenship (when applicant not born in U.S.)
 - v. Proof of military separation (if applicant had military service)
 - vi. Verification of high school graduation
- c. All questions on the application must be answered fully and accurately. Incomplete or inaccurate applications shall be returned to the applicant for completion. Statements should be brief and concise, however, important particulars which tend to qualify an applicant should not be omitted.
- d. All application statements are subject to investigation. Statement of facts found to be false, exaggerated or misleading may cause an applicant to be disqualified.

Analysis of Selection Standards

Age. The limit on hiring age may be valid under the Age Discrimination in Employment Act (ADEA).

The ADEA was enacted in 1967 "...to promote the employment of older persons based on their ability rather than age; to prohibit arbitrary age discrimination in employment; to help employers and workers find ways of meeting problems arising from the impact of age on employment." Included among the provisions however is Section 4(f) (1) which provides an exception to the prohibitions against age discrimination. The section reads as follows:

"(f) It shall not be unlawful for an employer... (1) to take any action otherwise prohibited under subsection(s) (a)... of this section where age is a bona fide

occupational qualification reasonably necessary to the normal operation of the particular business, or where the differentiation is based on reasonable factors other than age;..."

In Arritt v. Grisell, 421 F. Supp. 800 (N.D. W.Va.) (1967), the district court granted summary judgment to the city upholding as maximum hiring age of 35 for its police department. Central to this determination was an affidavit submitted by the chief of police describing job requirements and skills necessary for the job of police officer.

The district court adopted the standard applied in Hodgson v. Greyhound Lines, 499 F. 2d 859 (7th Cir. 1974): that the employer need only demonstrate "a minimal increase in risk of harm for it is enough to show that elimination of the hiring policy might jeopardize the life of one more person than might otherwise occur under the present hiring practice."

The U.S. Court of Appeals in Arritt remanded the district court's opinion stating that the standard to be applied is the two-pronged test formulated in Usery v. Tamiami Trail Tours, 531 F. 2d 224 (5th Cir. 1976): that the burden is on the employer to show (1) that the BFOQ which it invokes is reasonably necessary to the essence of its business, and (2) that the employer has reasonable cause, i.e., a factual basis for believing that all or substantially all persons within the class would be unable to perform safely and efficiently the duties of the job involved, or that it is impossible or impractical to deal with persons over the age limit on an individual basis (emphasis supplied).

Thus, in the Court of Appeals opinion the city had not met its burden of proof in determining that the occupational qualification of 35 as the maximum hiring age was bona fide and within the 4 (f)(1) exception provided in the ADEA.

In conclusion, age requirements or restrictions may be legitimate and upheld in courts. However, the employer must be able to meet the burden of proof and establish that the above mentioned requirements and restrictions are bona fide occupational qualifications.

We believe that the entrance age for Montana Highway Patrol officers should be lowered to 21 years. Twenty-one years is the normal age accepted by the courts and written in most statutory law wherein persons are deemed to be of a legal age to carry firearms. In addition, 21 years through 35 years has been found to be more acceptable under Equal Employment Opportunity Commission (EEOC) standards.

Weight and Height. With regard to weight and height requirements for employment, the Supreme Court has handed down a decision which pretty much decides the issue. In Dothard v. Rowlingson, 433 v.s. 321 (1976) the Supreme Court struck down Alabama's minimum weight and height requirements for employment as a "correctional counselor" in Alabama's prison system. Justice Stewart, writing for the majority,

concluded that statutory requirements of 5'2" and 120 pounds had a disproportionate impact on women and were an arbitrary barrier to equal employment opportunity. The court dismissed the argument that height and weight standards were related to job performance by holding that the state had not made any showing of correlation between the height and weight and the degree of strength required of a prison guard.

The court also stated that it is impermissible under Title VII to refuse to hire an individual woman or man on the basis of stereotyped characterizations of the sexes.

"If the job-related quality that the appellants identify is bona fide, their purpose could be achieved by adopting and validating a test for applicants that measures strength directly. Such a test, fairly administered, would fully satisfy the standards of Title VII because it would be one that "measure(s) the person for the job and not the person in the abstract." Griggs v. Duke Power Co., 401 U.S., at 436.

Eyesight. Qualifications as to eyesight as a prerequisite for hiring a law enforcement officer, has not been litigated as of yet. The only suit bearing on this issue has yet to be heard, and for all intents and purposes will be of no significance if heard.

The case at bar, Marsh v. Pickens, arises out of a set of regulations in Aurora, Colorado, that categorically excluded a prospective job applicant for the position of police officer due to ambliopia. Mr. Marsh was, however, hired as a reserve officer. Although a reserve officer does not carry out the same functions as a police officer, the two positions overlap in many areas. Further, Mr. Marsh achieved the rank of marksman in the limited training program for reserve officers.

Mr. Marsh filed suit in federal district court alleging violations of section 504 of the Rehabilitation Act of 1973 and the Colorado Anti-Discrimination Act.

Subsequent to the filing of the suit, the City of Aurora revised its standard as to eyesight and concluded that an individual is qualified to become a police officer if the individual in question can demonstrate that he or she can handle the job. Consequently, Mr. Marsh was offered and accepted a position of police officer for the City of Aurora. Thus, the only issue to be litigated, if pursued, is that of retroactive back pay.

We propose that vision standards should be 20/100 correctible to 20/20 in either or both eyes with normal color vision. Current studies are underway to validate vision standards by the California Highway Patrol. We propose that the department keep abreast of these studies and utilize the results in accordance with its own programs.

Medical. Physical or mental impairments such as the ability to care for one's self, ability to perform manual tasks, walking, seeing, hearing, speaking, breathing,

learning and working, are normally the basis for medical examinations. After reviewing the litigation from several court cases bearing on the matter it has been concluded that, under both the Rehabilitation Act of 1973 and the due process requirements of the Fourteenth Amendment, an employer may not automatically exclude any individual or group of individuals based on the employer's mere "belief" that such person or persons is incapable of performing the job in question. The employer must show by objective, verifiable evidence that the individual applicant is not capable of performing the essential functions of the job. Whatever testing criteria which is presently utilized and whatever requirements are developed in the future must, however, be job related.

Physical Agility Test. We believe that a physical agility requirement reflects a bona fide occupational requirement for a law enforcement officer and should be included in the pre-selection phase. It is suggested, however, that the elements of such a test take the form of a job-related, "obstacle course" rather than a pre-determined number of push-ups, sit-ups, deep knee bends, and other such exercises. There should be compliance with medical requirements as recommended by medical staff authority.

Citizenship and Residency. Citizenship requirements should be limited to U.S. Citizenship only in order to broaden the base for employment of the most qualified applicants. Residence within the state should only be required after employment.

Motor Vehicle Operator's License. Initially, possession of a valid license should only be required in the state of application.

Education. A high school diploma or a certificate of equivalency should be accepted as the minimum. However, the department should consider future implementation of a system requiring varying amounts of college credit for entrance in order to raise the overall qualifications of its members.

Background Investigation. Background investigations are considered to be one of the most critical and relevant requirements of a police selection system.

Other Procedures. Psychiatric/Psychological appraisal, oral board interview, and polygraph examinations should also be considered as auxiliary procedures in the selection system although their incorporation demands careful scrutiny and assessment regarding fairness, validity, and relevance.

Veteran's Preference. The department does not now include veteran's preference in its selection process. Section 77-501 paragraph (4) (a) R.C.M. 1947 as amended states... "When written or oral examinations are required for employment, disabled veterans and their spouses, their unremarried surviving spouses, and other dependents shall have added to their examination ratings a credit of 10 points. All other veterans, their spouses, unremarried surviving spouses, and dependents shall have added to their examination ratings a credit of five points.

Proposed Selection Process

Applicants who have the qualifications which are established by law and administrative policy may obtain application forms from the Highway Patrol Bureau, Helena, or from the Patrol's field offices in Missoula, Great Falls, Lewistown, Glendive, Butte and Billings. The applicants also receive a fingerprint card which must be completed along with the application and returned to the Patrol headquarters in Helena. A copy of their birth certificate must also be submitted. We propose that there is need to improve the application form for Montana Highway patrolman. The IACP recommended Personal History Statement is included in the appendix.

The Montana Highway Patrol realized the deficiency of the present application form and on 19 December 1975 sent out a supplementary questionnaire to all uniformed personnel requesting them to furnish supplementary information on formal education, profession, college courses, special skills, special training, other training, and additional information or comments to update their personnel records.

Written Examination. In accordance with present department regulations all applicants to the Montana Highway Patrol are required to take a general intelligence test and must make at least a minimum qualifying score to be established by the supervisor before he shall be eligible to take the oral or physical examination.

The present written general intelligence test consists of an Army General Classification Test (AGCT). We are concerned about the validity of using this test due to recent developments affecting written testing for police selection and promotion.

In a significant decision, Griggs v. Duke Power Company, the Supreme Court held that the use of a general intelligence test for employment purposes must be demonstrably job related. The case grew out of a class action brought by a group of the employees against the Duke Power Company of North Carolina. That company used high school graduation and satisfactory scoring on the Wonderlic test as a requirement for eligibility. Although the Griggs case was applicable to private employers, a Mississippi case has extended the Griggs rationale to public agencies. In a third case, the U.S. District Court has restrained a highway patrol organization from "requiring applicants for patrolman positions, as a condition of employment, to pass a standardized general intelligence test...or any other test which has not been validated or proved to be significantly related to successful job performance."

Aside from the issue of the test being "job related," many authorities in personnel testing have challenged many elements of the examination process as being "culturally biased." Even if the intelligence test can be shown to be job related, questions may be raised about the problem of cultural bias as a result of differences in the environment and culture.

There are two apparent solutions to the problem of job relatedness. The first approach is to find additional evidence of the relationship of aptitude testing to job performance,

the second is to develop such tests where none apparently exist, and the third is to use achievement tests which are specifically job related.

With respect to the latter category, the following alternatives are feasible:

- Giving an examination which measures achievement in an area which is very specifically related to job performance; for example, a test in the use of the English language in a job-related context such as report-writing, the reading and interpretation of statutes and regulations for meaning, and so on.
- Written testing at the conclusion of recruit training, providing that a relationship can be established between scores on the recruit training examination and job performance.
- An achievement-type examination using law enforcement subjects as the basis for the testing, in those agencies in which a degree in law enforcement is required for entrance.

The problem of cultural bias is difficult to resolve, but is not as great a problem as demonstrating job relatedness. Cultural bias can be described as the tendency of a test to discriminate against persons of one race, color, religion, sex, or national origin at a substantially higher rate than persons of another race, color, and so on. Cultural bias in certain kinds of testing for lower level positions is certainly a problem for many employers. For example, a standardized intelligence test as a requirement for a laborer's position may have a high degree of cultural bias in that the kind of applicant likely to seek a laboring job is probably not a person who is familiar with and comfortable with the language found in standardized IQ tests. The same is true for certain positions which are somewhat related to police work but do not require the higher levels of skill and training of modern law enforcement—for example, toll collectors, guards, security sentries, parking control officers, and so on. However, for the kind of applicant we are seeking for today's complex police tasks, the matter of cultural bias is not nearly so important. Many progressive departments today are looking for candidates with two years or more of college education. For persons with this much educational background, there is far less tendency to be limited or handicapped by the complexities of the English language or our modern culture. This is especially true for test items which are nonverbal in nature or unrelated to a specific field of learning such as mathematics.

The solution for the problem of cultural bias in law enforcement testing, therefore, can be approached by first raising educational requirements to the college level, such as two years or more. Second, written examinations should be reviewed to make them less dependent on sophisticated verbal or mathematics experience. Third, tests should be cross validated to remove items which are answered incorrectly more often by some groups than others. Fourth, tests should have separate validations for minority groups. Fifth, separate validation means establishing separate normative values in scoring the

test. If separate scoring is provided, minority applicants should be given the option of deciding which version of scoring they wish to be applied. Some candidates may have Mexican, African, or Indian ancestry, but may have grown up in a predominantly Anglo-Saxon environment and culture. For such a candidate, taking an examination which has been validated for a minority group may be a handicap.

The Equal Employment Opportunity Commission on July 31, 1970 signed and issued Title 29, Chapter XIV Part 1607 of the Code of Federal Regulations which set forth validated and standardized employee selection procedures. These guidelines which set forth minimum standards for validation of tests affecting hiring, promotion, transfer, or other employment or membership opportunity of classes were published in Volume 35 of the Federal Register, on Saturday, August 1, 1970, page 12333.

The IACP and the International Personnel Management Association (IPMA), assisted by funding from the Police Foundation, contracted with the Educational Testing Service (ETS) and developed a multijurisdictional Police Officer Examination (MPOE) which is designed for use as the main written component of entry-level selection systems, to determine if applicants can demonstrate the minimum abilities needed to learn to become effective police officers. This MPOE is appropriate for most departments: large, small, state, county and municipal.

The MPOE has been designed to be content valid. Also criterion-related validity studies have been carried out. Considerable evidence of the test's validity exists. However, the nature of testing makes it impossible to give a blanket assurance of validity. Therefore, the IACP cannot guarantee that the MPOE will be ruled valid in a specific application. However, the IACP will cooperate with users in establishing an argument for the validity of the MPOE when it is used in appropriate circumstances.

To protect the security of the test, it is offered on a rental basis. Subsequent to administration, test booklets are returned to IACP. Answer sheets may be returned for scoring by IACP, or retained by the department under the self-scoring option. Tests submitted to IACP for scoring will be processed and reported promptly, with an average turn-around time of one week, depending upon the size of the order submitted. A Test Security Agreement is entered into with a responsible user representative, which details the security precautions to be followed, and is required before a test order can be filled.

Physical Agility Test. Presently, applicants do not take a physical agility test, and a great reliance is placed upon the medical examination to ascertain if the applicant is physically able to perform the necessary duties. The use of an agility test in the selection process, provided that it is properly administered and is reasonably related to agility required on the job, insures that the applicant is not of substandard strength, agility and coordination. While many police agencies have developed new agility tests which they believe may be job related, IACP is only aware of one that has been ruled so by a court of record.

The California Supreme Court has upheld a police department's requirement that all applicants for the position of police officer be able to scale a six-foot wall. The plaintiff had challenged the physical ability test instituted by the city of Oakland alleging violations of Title VII of the Civil Rights Act of 1964, as well as constitutional infirmities under the Equal Protection Clause of the Fourteenth Amendment.

The challenged requirement was part of a battery of physical agility tests which involved among other things running, lifting dead weights and walking across a balance beam within a specified time. Of the women who took the test, only 15 percent passed in comparison to the 85 percent passage rate for men. With respect to the wall scaling position alone, 50 percent of the women failed to successfully scale the wall while only 7.5 percent of the men failed. The city had instituted the selection criteria only after the court previously struck down its height and weight requirements, and after a job analysis survey of Oakland police officers determined their duties included an ability to run, lift or drag objects, and scale walls.

The California court first rejected the plaintiff's claim that the physical agility test violated the Equal Protection Clause of the Constitution. The court first noted a well settled law that disparate impact upon a suspect class such as women, alone, is not enough to create a constitutional violation and found that the use of the agility tests did not constitute a classification based on gender. Rather, the court said, "The only classification occurs between those persons—male and female—who can climb the wall and those—again of both sexes—who cannot. Plaintiff is thus not prevented from becoming a police officer on the basis of her gender, but rather because she is unable to demonstrate necessary physical ability."

The plaintiff also alleged that the testing requirements deprived her of her fundamental right to pursue a lawful occupation. The California Supreme Court has previously ruled that the right to employment is fundamental where the employment sought is a common occupation within the community. The court noted here, however, that "law enforcement" involves not only a close relationship to the 'public interest and welfare' but also requires skills and technical knowledge including detailed knowledge of the law." These factors led the court to conclude that no one possesses a fundamental right to become a police officer. In the absence of both a fundamental right and a suspect classification, the court applied the traditional equal protection standard of whether the government action bears a reasonable relationship to the governmental objective. In this instance it was found that the tests were sufficiently related to the job requirements.

With respect to the Title VII claim the court acknowledged that the plaintiff has established a prima facie violation upon her showing that the agility tests had a disparate impact upon female applicants. However, once this showing has been made the employer is entitled to show that the selection requirements are "job related." The EEOC guidelines, which establish criteria to determine the validity of employment testing, require not only job relatedness but a showing that the tests do not subject applicants who were once discriminated against to a more rigid standard than had been applied to other employees. The court ruled that the new tests did not constitute a "more rigid" standard but simply emphasized agility over strength, as opposed to the prior testing criteria which tended to measure raw strength.

The California Supreme Court concluded that the city had carried its burden of proof in demonstrating that the physical agility tests were job related. The court cited the job analysis survey which it found did "demonstrate that the test is significantly correlated to important elements of the job." As a final matter, the court noted that the plaintiff had failed to show an alternative test could effectively determine applicant's ability while reducing the disproportionate impact upon women. (Hardy v. Stumpf, 17 FEP Cases 472, Cal. Sup. Ct. No. S.F. 23484, April 13, 1978.)

We propose that the Montana Highway Patrol contact the Oakland Police Department, obtain a copy of their physical agility testing procedure and consider it for adoption as part of the Montana Highway Patrol selection process.

Interview. Properly conducted oral interviews are a valuable adjunct to the overall selection program. For example, there is a need, at the initial contact, for someone to discuss and evaluate the applicant's basic qualifications to determine if he meets the minimum standards. This review is generally conducted from information on the written application form.

The second step, and probably the most important interview process, is for the candidates to appear before an oral board. This is presently being utilized, with the board being comprised of a team of commissioned patrol officers. Each officer of the interviewing team individually scores the potentiality of the applicant, based on information revealed from the oral examination.

The basic objective of oral board screening is to measure certain intangible qualities not readily discernible by other processes, such as the applicant's ability to answer questions intelligently. His appearance, demeanor, motivation, and attitudes concerning the position he is seeking can be assessed at the time. The interview need not last longer than one-half hour and should be weighted 40 percent of the total selection process score. Board members should record individual observations on each candidate on a form designed for this purpose. Included in the appendix is a Qualifications Appraisal Guide as an example of such a form. The grade of each board member should be averaged into a final score. This method will help to rate candidates when all other factors are equal.

The chief (or his designated representative) should interview each eligible candidate prior to selection. All forms, examination papers, grades, and other data compiled during the selection process should be carefully reviewed for completeness before the interview. Items which require further clarification can be discussed during the interview. The chief should always have the final decision regarding the candidate's suitability for selection.

Medical Examinations. Because the medical examination is a step which is costly in terms of monetary outlay, it should be placed relatively late in the selection process. The rigors of modern police operations make it mandatory that physically unfit candidates be eliminated. The present medical examination system meets this criterion and should be continued.

Psychiatric or Psychological Examinations. Normally psychiatric examinations are not given to applicants for the Montana Highway Patrol. However, applicants for the last recruit examinations were given a psychological test. The question of the desirability of psychological or psychiatric testing has not been settled. Moreover, it is difficult to establish norms or standards. There are, however, some basic benefits to be derived from such testing. For example, emotional or neurotic personality characteristics can often be discovered which, in the absence of any other screening process, would not be discovered. Some such defects would prove potentially hazardous to the police and to the personal success of the police officer.

Despite the absence of definitive standards for psychological or psychiatric testing of police applicants, we feel that this type of testing should be established as one of the prerequisites for employment. The decision-making responsibility and emotional stresses imposed upon police officers require that police applicants be mature and emotionally stable. Psychological testing can help to determine whether an individual will be capable of acting rationally, objectively, and fairly in the performance of his duties.

Reports from a clinical psychologist or from a physician who has conducted psychiatric tests should be evaluated by the appointing authority and measured with other factors utilized in the selection program. Psychological and psychiatric reports should be considered advisory and not necessarily conclusive. The appointing authority should always make the final decision based upon an evaluation of all available facts.

Polygraph Examination. Polygraph examinations are not presently used in the Montana Highway Patrol applicant examination process. Unless specifically prohibited by law such as in a "Policeman's Bill of Rights," Administrative Code, or Collective Bargaining Agreement, the chief should consider utilizing a polygraph examination for all new highway patrol applicants. This examination can remove any doubts of an applicant's background, honesty, or desire to become a highway patrol officer. The Personal History Statement should be made available to the polygraph operator to be used as a source document. The test should complement the background investigation.

Background Investigation. The best way to examine the character and background of an applicant is to conduct a thorough investigation. This is a difficult and laborious process. Generally, leads furnished by the applicant are not likely to be detrimental, and references and previous employers are reluctant to report critically. Background investigations are now assigned to the field division in which the applicant resides and a lieutenant or sergeant (in some cases a highway patrol officer) are detailed to conduct the investigation. A four-page Report of Investigation—instructions are furnished to the officer along with a Report of Investigation form with subject headings. Although this approach is expedient, it does present some problems. It encourages shortcuts because of its brevity and is somewhat inflexible and rigid. Such investigations are better if conducted by trained personnel who can develop expertise, special contacts, and techniques. While it is not possible, considering the present shortage of personnel to assign full-time personnel to conduct background investigations, we do believe that a cadre of personnel, in each of the new field districts, should be trained in the special techniques and standards required to conduct background investigations.

By all means the background investigation must be thorough and objective. When a statement such as "no criminal record found" is entered on the report, it should include details as to what sources were checked. Entries on background investigation reports were spotchecked in various personnel files and in many cases were found to be too general and lacking in objectivity. While the present application form provides a considerable amount of information to use in making a background investigation, other information should be made available to assist the investigator further. An IACP sample Personel History Statement is provided in the appendix.

Probation. A probation period should be considered as part of the selection process. Under Montant law, a probationary period of from 6 months to 1 year has been established and a confirmation required or the officer discharged. Regardless of its degree of sophistication, no selection process has yet been designed that will absolutely insure the success of all candidates. It is essential, therefore, that candidates be carefully observed and evaluated during the initial training and on-the-job performance periods to determine how well they function in their new environment. Consultation should be afforded those whose performance is unsatisfactory, and if there is no improvement, they should be separated from the service. It is for this reason that probationary periods are established.

The present provision for probation is adequate. It allows sufficient time for the recruit to be assigned to several supervisors. It allows for sufficient performance evaluation periods, as well as time to upgrade performance levels, if necessary. Should dismissal from the service occur during this period, it is not an indictment of the selection process, but an indication that the process is functioning as it was designed.

Systematic Selection Process

With all of the proper components and if adequately administered, a selection process is relatively costly. It is incumbent upon the department to structure the procedure so that the most inexpensive components are placed first, thereby eliminating the unfit candidate as inexpensively as possible. The primary purpose of the selection process is to select the best qualified candidates possible.

Because of the decentralized operation of the Montana Highway Patrol, as many steps as possible should be conducted at the district or post level. This will cause minimum inconvenience to an interested applicant who would have to travel long distances to complete steps in the process at headquarters. A major consideration in the decentralization of certain parts of the process is to establish uniform testing procedures. Consideration should be given to grouping selection activities so as to minimize the inconvenience to the applicant and to save time and effort for the department.

The following systematic approach should be considered to improve the present sequence of events:

Step 1 - At initial contact, review basic qualifications to see if minimum standards are met before issuing application.

Step 2 - Conduct initial screening interview to verify information on the Personnel History Statement and to insure that requested documentation is attached.

Step 3 - Initiate fingerprint process and name record check.

Step 4 - Conduct testing to measure reading comprehension and writing ability. Minimum achievement levels should be established and followed. Written tests should be weighted 60 percent of the total score.

Step 5 - Start background investigation.

Step 6 - Conduct agility test. Local facilities are generally available, such as schools, recreational facilities, YMCA's, etc.

The first visit of the applicant should involve Steps 1 through 3. A second visit, if the applicant is not screened out in Steps 1 through 3, should involve Steps 4 through 6. Steps 1 through 6 can be accomplished at the district or post level. The Personnel and Training Section should establish uniform testing procedures. Steps 7 through 10 should be accomplished at headquarters in Helena during a third visit.

Step 7 - Conduct the oral board review which was described. The interview should be weighted 40 percent of the total score.

Step 8 - Conduct the Polygraph examination.

Step 9 - Conduct the medical examination.

Step 10 - Conduct the psychological examination.

Step 11 - Review Steps 1 through 10, examine results of background investigation, conduct last interview by the chief or his representative, and compile rank order of passing candidates.

Step 12 - Appoint candidate to training academy for basic training.

Step 13 - Upon successful completion of the training course, confer probationary appointments.

Step 14 - Evaluate appointee during probationary period.

Step 15 - Make final confirmation upon successful completion of probationary period.

Note: We believe that the department should consider a system whereby graduates from the basic academy are initially employed as civilian driver examination technicians and then are drawn from there for appointment as probationary Highway Patrol officers. This interim employment as driver examination technicians will provide each individual with valuable experience before movement into a Highway Patrol function; it will provide the department with an opportunity to evaluate the potential probationary officer; and most important it will provide a career development program for driver examination technicians rather than dead end service.

Rights of Appeal. Present procedures allow for the elimination of candidates at any point in the selection process. An applicant cannot appeal his elimination from further employment consideration, even if he feels that the decision may be prejudicial or arbitrary. For the selection process to be completely objective, certain appeal procedures should be allowed. There is no question that personnel not meeting minimum standards should not be allowed to continue. However, certain steps within the selection process may require subjective decisions to eliminate a candidate. Appeal should be allowed to the chief, then to the State attorney general. This procedure should minimize any criticism that the selection process is not completely objective.

Recommendations

1. Revise present minimum standards for selection as proposed in the text.
2. Adopt an improved selection process as recommended in the text.
3. Consider use of the proposed IACP Personal History Statement in lieu of the present application form for Montana Highway Patrolman.
4. Discontinue use of the Army General Classification Test (AGCT) and consider the newly developed IACP multijurisdictional Police Officer Examination (MPOE) or its equivalent for use in entrance level testing.
5. Consider use of a validated physical agility test as recommended in the text.
6. Revise oral interviews as proposed and utilize the recommended Qualifications Appraisal Guide to record observations and grade each candidate.

7. Credit veterans preference points to examinations as required by state statute.
8. Consider the utilization of psychiatric or psychological examination and polygraph examinations in the selection process.
9. Revise background investigation procedures; train a cadre of background investigators in each district; and require complete and objective background investigation reporting.
10. Confirm that FBI fingerprint cards are on file in the personnel record file of every sworn member and civilian employee of the department and that the card verifies "no criminal record."
11. Utilize a systematic approach to improve the present sequence of events in the selection process as proposed in the text.
12. Consider a system of assignment of basic academy graduates to employment as civilian driver examination technicians before they are appointed as probationary highway patrol officers. Utilize this system as a career development program for driver examination technicians.
13. Allow rights-of-appeal in the selection process to preclude any possible subjective decisions to eliminate a candidate.
14. Fully utilize the probationary period to screen out candidates who do not meet performance standards during recruit training or during the balance of the probationary period, in conjunction with the written examination procedures discussed above.

Section 4 - Promotion

The Legal Basis for Promotion

Authority for promotion is outlined in Section 31-105 R. C. M. 1947 as amended. In accordance with the statute, the chief of the Montana Highway Patrol is authorized to select supervisory personnel including, but not limited to, captains, lieutenants, sergeants, and patrolmen in such numbers as necessary, but within the limits of the legislation appropriation made available for such purposes, and subject to the approval of the administrator of the Division of Motor Vehicles of the Department of Justice.

Policies in regard to promotions are contained on pages S5-23 and S5-24 of the Operations Manual, Montana Highway Patrol.

Present Promotional Process

In accordance with departmental policy, promotional examinations will be given once each year, or sooner if the eligibility list is depleted.

Written examinations will be based on everyday job knowledge, which may include traffic law, laws of arrest, search and seizure, rules of evidence, court procedure, department regulations, supply and equipment, accident investigation, driver license, supervision, and public relations.

Thirty (30) days notification will be given to all eligible applicants prior to written examination.

In the event that only one officer could qualify on time in grade to compete for promotion to a higher rank, the prerequisite regarding time in grade for that rank could be waived.

Members of the department who qualify to compete for promotion are encouraged to consider the prerequisites for promotion outlined in the promotional policy.

Promotion lists are certified for one year only and run from July 1 through July 30 of each year.

Promotional examination tests are prepared and administered by the personnel and training officer under the direction of the chief.

Supervisory and command classified positions of sergeant are filled by an examination procedure consisting of the following:

	<u>Possible Score</u>
● Written examination	25%
● Division captain's evaluation	15%
● District sergeant's evaluation	10%
● Fellow officer's evaluation	20%
● Seniority	20%

Supervisory and command classified positions of lieutenant are filled by an examination procedure consisting of the following:

	<u>Possible Score</u>
● Written examination	25%
● Division captain's evaluation	15%
● Division lieutenant's evaluation	10%
● Headquarter's evaluation	20%
● Seniority	20%
● Time in grade	10%

Supervisory and command classified positions of captain are filled by an examination procedure consisting of the following:

	<u>Possible Score</u>
● Written examination	20%
● Division captain's evaluation	20%
● Headquarter's evaluation	30%
● Seniority	20%
● Time in grade	10%

Headquarters staff positions including the exempt positions of major and lieutenant colonel are filled by appointment at the discretion of the chief. Selection is based on the individual's ability to perform the required tasks.

Officers accepting an appointment to headquarters staff retain the same rank held prior to the appointment for purposes of bidding on and transferring to field positions. The officer's salary is that established for the position under the State Classification Pay Plan.

Headquarters staff officers below the rank of captain may participate in the field officers' promotional system. Promotional candidates successful in reaching the top of the promotional list are promoted to that rank. The new rank may then be used for purposes of bidding on and transferring to field positions.

Prerequisites for Promotion

Personnel of the department must meet the following assignment and experience qualifications to be eligible for promotion:

- Must be willing to accept assignment anywhere in the state.
- To be considered for the position of sergeant, must have completed six (6) years as a patrolman since date of appointment.
- To be considered for the position of lieutenant, must have completed two (2) years as sergeant since date of appointment.
- To be considered for the position of captain, must have completed two (2) years as lieutenant since date of appointment.

As a matter of practice, the present chief of the Highway Patrol has made appointments from the top of each eligibility list.

Analysis of the Promotional Process

Promotion can be defined as upward movement from one stratum of responsibility to another that requires additional skills and knowledge and offers additional compensation. The role of a sound promotional system is two-fold: (1) to select for promotion those persons who are best suited for increased responsibility, and (2) to provide assurance that there is an impartial means for advancement within the department.

Performance evaluation, which is the major consideration in the process, does not attempt to measure the promotion potential of the person, but rather how well he is performing in his present position. Promotional potential can be rated and should be a consideration in the examination process.

In the future, written examinations should be prepared by an outside source and should be screened by the chief prior to being administered. This procedure should eliminate any question about the test's reliability or objectivity.

The Montana Highway Patrol should place more emphasis upon testing for leadership potential, management skills, supervisory ability, and other position related concepts, rather than concentrating on police operations, procedures, and rules and regulations.

Proposed Promotional System

Written Examination. The content of the written examination for promotional considerations should generally measure knowledge of work. It should emphasize knowledge that would be required for the position being sought. Police operations, procedures, and rules and regulations should be part of the examination, but the main emphasis should be on concepts of police management and supervision. If possible, the examination should include problem-solving questions. The test format should consist of short answer and multiple-choice questions and should avoid true-or-false and fill-in-the-blank questions. If practicable, it is also beneficial to have candidates prepare staff study assignments which require presentation, analysis, and solution to problems. This phase in the promotional process should be weighted 50 percent.

Promotional Potential Rating. This portion of the promotional procedure should not be utilized unless the candidate has passed the written examination. The recommended procedure in this step is to have ratings of each candidate completed by two immediate supervisors. This will allow for tendencies to overrate or underrate. The full procedure should also provide for the establishment of a rating review procedure.

In the appendix, we have included a sample Promotional Potential Rating form with a guide outlining its use. The form and guide should be included as part of an employee evaluation manual and should become part of the evaluation system. This phase of the promotional process should be weighted 10 percent.

Promotional Board Interview. An oral interview should be included as a part of the promotional process. It should be utilized to explore those intangible qualities that cannot be measured by the written examination. Appearance, attitudes, philosophies, general concepts, and the like should be evaluated as part of this process. The oral interview panel should consist of three experienced police supervisors from outside the department and at least one rank higher than the rank of the candidates being examined. The panel may be assisted by a non-voting member of the Highway Patrol who should act as moderator and coordinator. Only those candidates who pass the written test should be given the oral interview. The interview should be graded, using the Qualifications Appraisal Guide shown in the appendix. This phase of the promotional process should be weighted 40 percent.

Seniority. Seniority should be utilized only to separate candidates who have relatively similar scores at the completion of the examination process. Seniority has no direct bearing on the quality of work, supervisory ability or any other characteristic required of good supervisors or administrators.

Qualifying Experience. The purpose of a promotional process is to select the best qualified candidate for a position. Policies should be specific and procedures should be fair and strictly adhered to so that the widest possible competition is stimulated. The broader the base utilized for selection purposes, the better the chances are of obtaining the most qualified persons. The requirements that patrolmen must

complete six years of satisfactory service to be eligible to take the examination for sergeant, that the sergeant must have completed two years, and so on are unrealistic. Once patrolmen, sergeants and lieutenants have completed probationary requirements, they should be eligible to compete for the next higher rank. This will allow each promoted officer sufficient time in grade to gain experience and competence in that assignment.

Educational Requirements. At the present time, there is no specific standard of education or equivalent combination of experience and education required for promotion. We believe that the lack of such qualifications is a significant deficiency. One reason for this deficiency is a lack of academic programs available in the state. Another reason is the long hours that personnel presently work, which would cause difficulty in scheduling classes and would place an additional burden on an officer's family life. If, in the future, law enforcement programs are available on a statewide basis and the normal workweek for sworn personnel is at a reasonable level, educational requirements should be established for promotion. These will motivate officers to continue their formal education. It is essential that men who are selected for advancement demonstrate evidence of leadership and supervisory potential over and above the qualities of a good patrolman guaranteed by many years of service. Increased educational requirements will also assist in the development of good supervisors and administrators.

Appointment and Probation

Once the testing process is completed, eligibility lists should be prepared by totaling scores of the different sections. The list should be maintained in rank order. When positions become available, the chief should have some flexibility in making a selection. This can be accomplished by using the "rule of three," which allows selection from the top three candidates on the list.

The present probationary period is adequate and should be continued.

Exempt Positions

The chief should retain considerable freedom of choice in his selection of headquarters staff appointments. Selection and retention is based upon the individual's ability to perform the required tasks. It is important that the chief executive surround himself with people with whom he can work, have confidence in, and trust. For this reason, the exempt rank provides the flexibility he needs.

Recommendations

1. Adopt the proposed promotional system described in the text.

2. Utilize the promotional potential rating included in the appendix in place of performance evaluation.
3. Staff the Promotional Board as described in the text.
4. Continue the probation period presently used.
5. Continue the appointment of exempt positions as described in the text.

Section 5 - Performance Evaluation

Present System

Performance Evaluation Report. The Montana Highway Patrol has given special attention to the performance evaluation of its patrol officers. For example, all confirmed members, except commissioned members, are required to be evaluated semi-annually, October 1 and April 1, of each year. Department Form HQ-1409, "Performance Evaluation Report," is used for this purpose. Each report is signed by a rater and a reviewer. The rated officer must also sign the form and certify that it has been discussed with him. This report is used for the purpose of promoting uniformity in selective enforcement, public relations, job knowledge and proficiency, and economy in vehicle operation.

Supervision Report. Patrol officers and their vehicles are also required to be inspected monthly by their respective sergeants by means of a "Supervision Report," HQ-1510, which is recorded and maintained in each officer's personnel file. This inspection is utilized as a means of improving personal appearance and motor vehicle maintenance.

Individual State APU Appraisal Report. An "Individual State APU Appraisal Report," HQ-1528, is completed on each officer assigned to the APU at the end of his 10 day tour of duty. The report evaluates the tact, job attitude, schedules, appearance, work dependability, and conduct on and off the job during the reporting period.

Probationary Patrolmen. During the first 30 days after employment, probationary officers are normally assigned to work with another officer for 10 days in driver examinations and 20 days in traffic (not necessarily in that order). The 20 day traffic tour is generally performed in the Division where the probationer will be assigned.

No evaluation reports are required on the 10 day tour as a driver examiner.

During the 20 day tour in traffic, the probationer is evaluated on a daily basis by means of a "Coach-Pupil Evaluation Report," HQ-1554. At the end of the 20 days, an accumulative "On-the-Job Training Report," HQ-1553, is prepared on the probationer by the Division Commander and submitted to headquarters.

At the completion of the 30 days of duty with a second officer, the probationer is assigned to a field division and from that point on, until the end of his probation and he is confirmed, he works alone and is evaluated every three months by means of a "Performance Evaluation of Probationary Members Report," HQ-1482.

Analysis of Present System

The performance rating form and the required semiannual evaluation are excellent. This system allows an employee who is performing at a substandard level to be notified within a reasonable time.

Generally, supervisors dislike making judgments of the people working for them as much as the employees dislike being rated. The effect of these attitudes can be minimized by continued training on what ratings are and are not, what they can and cannot do, and their objectives for all personnel. The annual seminar is a valuable tool to keep supervisory personnel apprised of employee evaluation methods.

Although authorities do not agree completely on the purposes of performance evaluation, some of the expected, but seldom achieved, objectives are to:

- Keep employees informed of what is expected of them and how well they are performing.
- Point out to the employee how he can improve.
- Recognize and reward good work.
- Identify weaknesses and training needs.
- Provide for a continuous record of performance on each individual.
- Determine if certain standards are being maintained.
- Check the accuracy of job descriptions and classifications.

- Verify the accuracy and effectiveness of recruit and examination procedures.

Recently, there have been some definite trends in the field of performance evaluation. One of these has been to prescribe an employee interview—the opportunity for sincere conversation between supervisor and employee about performance and improvement.

Another trend has been to avoid using the performance system for multiple purposes. A system based upon multiple objectives is likely to fail. As indicated previously, it has been popular to enumerate the many possible objectives of performance evaluations—to facilitate merit increases, promotion, transfer, demotion, discharge, reinstatement, references, motivation, employee training, supervisory training, personnel research, talent hunts, and many others. There is increasing recognition that an evaluation method can be developed as an administrative tool or as a supervisory tool, but it is unlikely that it can function to its optimum in both capacities.

Other trends have indicated a shift away from rating subjective or personal traits and toward rating objective or more easily observed characteristics. Care should be taken, however, not to reduce these factors to some numerical designations, which would tend to give an employee a performance "identity." Furthermore, employees heartily dislike being compared in a report-card-like manner to other employees.

Finally, performance evaluations should be recognized for what they are—opinions and attitudes, rather than physical science measurements.

The present evaluation system, utilizing the Performance Evaluation Report designed from IACP's system, should be continued; however, the guidelines may need revision or the procedures supervised more closely. We propose that the department evaluation system should include all sworn personnel (including exempt positions). Our recommended performance evaluation system, which is an adaptation of a system advocated by the Public Personnel Administration, takes into account the most important trends in the field of employee evaluation:

- The system avoids the confusion caused by multiplicity of purposes. Its primary purpose is to inform the employee of his standing, with a view toward improving his performance.
- Numerical ratings have been eliminated. It is not possible to use this form to categorize an individual as "excellent," "above average," or "average."
- Factors are designed to help form opinions about performance.

- Ample provision is made for explanatory comments.
- An employee interview is a major feature.
- Explanatory material is part of the package to be given to raters at the beginning of each evaluation period.

Each supervisor should rate only those people that he actually supervises. For example, lieutenants should not rate patrolmen when there is a sergeant position in between; lieutenants should only rate the sergeants or subordinates that they actually supervise.

A copy of the IACP Performance Evaluation System has been included in the appendix for your information and use in upgrading your present system.

Recommendations

1. Upgrade the present evaluation system as discussed in the text and referenced in the appendix.
2. Continue the present semi-annual evaluation procedure.
3. Conduct performance evaluations on all personnel, including exempt positions (headquarters staff personnel).
4. Utilize the performance evaluation for one reason only—to improve employee performance. (Plan to utilize Promotional Potential Rating Reports for promotional examinations in lieu of Performance Evaluation Reports).
5. Conduct annual seminars to keep supervisory personnel apprised of employee evaluation methods.

Section 6 - Civilian Employees

The authority for the appointment of civilian personnel is contained within Section 31-102, R. C. M. 1947 as amended, which states: "The Montana Highway Patrol shall provide for clerical help, provide for the maintenance of the patrol and for the employment and supervision of the patrol in conformance with the provisions of this act."

On page S1-7 of the Operations Manual of the Montana Highway Patrol, civilian personnel are defined as "employees" or non-uniformed personnel of the department.

The civilian employee plays an important part in the operation of any police agency. The Montana Highway Patrol wisely employs a number of civilians to perform clerical functions, communications operations and technical operations, and more importantly it does not utilize highway patrol officers for clerical type duties. Approximately 30 percent of the Patrol are civilian employees; however, this figure is proportionately high due to the driver services functions assigned to the Patrol. Discounting the driver services functions, the percentage of civilians to patrol officers is approximately 18%, which is low.

Analysis of Present System

Civilian employee classifications range from a legal officer, systems analyst, graphic reproduction supervisor and administrative secretary to clerk supervisor, control technician data processing, offset duplicating operator, administrative aide, clerk typist, etc. While there does appear to be a wide range of varied and separate position titles, it was noted that the state has attempted to consolidate civilian positions into general categories under the state's classification plan. These efforts are commendable and should be continued.

Although both civilian employee and sworn members of the department have been included together in the State's Classification Plan, the department for some unknown reason continually separates employees and members on organizational charts, departmental manning tables, duty rosters, etc. In fact, the separation is so pronounced that some sworn supervisors are not really sure who has supervisory control over the civilian employees working in their offices. An obvious cause of at least part of this problem is the separation of the personnel functions of sworn officers and civilian employees. This problem creates confusion and causes frustration throughout the whole department.

It is recommended that members and employees be considered as one in the total manpower pool. All functions involving civilians or sworn officers should be handled in a similar manner and together on orders, memorandums, organizational charts, manning tables, rosters of personnel, shift assignments, etc. We propose that this problem needs immediate attention as some civilian employees have complained that the system is demeaning to them.

Consideration should also be given to further utilization of civilian employees in key supervisory positions. As you will note in Chart 2.2, the proposed structural organization of the Montana Highway Patrol, we have designated civilian supervisors to head many of the sections and units organized under the Driver Services Bureau, the Administrative Services Bureau and the Technical Services Bureau. We have also proposed a civilian legal officer and a civilian public information officer. At a later time the chief might consider the assignment of an educated and well experienced systems analyst to head the Research and Development Section.

Many assignments can be more economically and efficiently handled by civilian employees, thus relieving sworn officers for duties requiring the specific skills of sworn police officers. For example, in the manpower allocation and distribution chapter of this report, we have recommended that the present 21 highway patrol officers assigned to driver examinations be replaced with 21 uniformed civilian driver examination technicians and the uniformed officers be reassigned to field duties.

The proposed expansion of civilian positions in the department creates an improved career development pattern for civilians and in addition assists management in the budget process by designating assignments that can be more economically and efficiently handled by civilian employees.

There are several advantages to the interchangeability of sworn and civilians in key supervisory positions, including the following:

1. The individual with the necessary experience and the educational background may be free from limited, traditional thinking.
2. If properly selected, appointees will possess a wide experience and background.
3. The system provides expertise which may not be readily available among command and supervisory personnel in the department.
4. The chief is provided with a degree of flexibility and freedom to appoint qualified personnel.

Another advantage—and one not so easily recognized—is that civilian commanders, in their daily exchange of views, ideas, and concepts with sworn personnel, broaden and deepen the experience of sworn personnel, and conversely, such exchanges enrich the civilians' understanding and perception of law enforcement problems. Daily or periodic communication and the give and take of working together provide a strong basis for the establishment of a unified structure. The artificial distinctions between civilian and police employees are unnecessary. There should be recognition by progressive police administrators that law enforcement has much to learn and gain from specialists who are not police officers.

Police Services Technician

We have previously discussed the feasibility of consolidating some civilian positions into one standard, functional position that could be utilized in place of the diverse civilian positions presently used throughout the state. In the proposed personnel authorization for the department we have specifically recommended "police services

technician" in lieu of radio dispatchers. This classification allows the individual to be involved in a broad range of related activities in addition to radio dispatching services. A position description for police services technician has been included in the appendix to this report.

Recommendations

1. Consider the assignment of civilian personnel to key positions in areas where they can function effectively.
2. Review civilian positions for possible functional consolidation as has been proposed for the police services technician position.
3. Consider using the position of police services technician wherever appropriate throughout the state.
4. Encourage the exchange of views, ideas, and concepts between sworn and civilian personnel.
5. Include civilian employees as a part of the total complement of personnel when constructing organizational charts, developing assignment rosters of personnel, or conducting other department business.

Section 7 - Salary Plan

Job satisfaction is dependent on many factors, one of which is salary. Adequate compensation can be directly related to employee morale, employee turnover, job performance, and the quality of personnel attracted to the positions. Personnel costs also reflect the major share of the police budget. Generally, an average police agency can attribute 85 percent of its total budget to personnel costs. Table 5.1 is a comparison of state highway patrol budgets compared to personnel costs for fiscal year 1977-1978 (derived from Comparative Data Report questionnaire). According to this report the Montana Highway Patrol expends approximately 75 percent of its budget on personnel costs. This may not be an accurate assessment, however, due to the fact that the personnel costs for driver services have been included. For example, a review of the patrol operations and field services budgets authorized for 1979 showed 71.5 percent of the total allotted to personnel costs. This is the approximate average (71.48%) for all of the state highway patrol agencies listed on Table 5.1.

TABLE 5.1

COMPARISON OF STATE HIGHWAY PATROL PERSONNEL
COSTS IN RELATION TO TOTAL BUDGET

1977-1978 Fiscal Year

	<u>Total Budget</u>	<u>Percentage of Budget Expended On</u>			<u>Rank</u>
		<u>All Personnel</u>	<u>Sworn Personnel</u>	<u>Civilian Personnel</u>	
Arizona	11,600,000	70	45.5	24.5	10
California	221,841,212	81.3	67.2	14.1	1
Georgia	19,169,302	72	54	18	9
Kansas	12,143,946	63	51.1	11.9	14
Minnesota	20,375,000	65	57	8	11
Missouri	31,500,000	72	45	27	9
Montana	7,000,000	75	55	20	7
Nevada	5,009,201	72	64	8	9
North Carolina	29,000,000	64	63	1	13
North Dakota	2,600,000	76	68	8	6
Ohio	40,782,338	78	57	21	4
Oklahoma	9,698,562	60	60		15
South Carolina	16,511,448	65	56	9	11
South Dakota	4,697,640	64.1	62.7	1.4	12
Utah	10,155,000	80.4	78.79	1.61	2
Washington	35,132,543	77.5	54.5	23	5
Wisconsin	14,604,500	78.56	70.70	7.86	3
Wyoming	4,255,840	72.86	47.92	24.94	8

Salary Administration

Salaries for Montana State employees are administered by means of a State Classification and Pay Plan which provides a system placing approximately 1,800 state job classifications into an integrated structure and relates pay to grade associated with each classification. Rules are prescribed to govern job classifications and for the administration of the state pay plan.

The pay plan rules, adopted in accordance with the provisions of Section 59-922 R. C. M. 1947, govern personnel actions affecting employees under the State Classification and Pay Plan. Exceptions to the rules may be allowed only by the administrator of the State Personnel Division of the Department of Administration. Valid union contracts will take precedence over the rules only where an exception is clearly and specifically stated in the contract.

The present salary program for all state employees, including personnel of the Montana Highway Patrol, is shown on Table 5.2. The pay plan uses 25 full grades and 4 half grades. The grades are arranged vertically. Thirteen horizontal steps are provided in each grade. The pay plan's initial salary matrix was established in House Joint Resolution 37 passed by the 1975 Legislative Assembly.

Grade Classification. Pay grade classifications for personnel of the Montana Highway Patrol Bureau under the State Classification and Pay Plan have been established as follows:

- Highway Patrol Officer I
(Entrance qualifications) Grade 11
- Highway Patrol Officer II
(Completion of 6 months as Highway
Patrol Officer I or any equivalent
combination of education and experience) Grade 12
- Highway Patrol Officer III
(10 1/2 years as Highway Patrol Officer II
or any combination of education and exper-
ience) Grade 13
- Highway Patrol Sergeant /
(6 years experience as a Highway Patrol
Officer or any equivalent combination of
education and experience) Grade 14

Table 5.2
 1977-1978 PAY PLAN
 ANNUAL SALARY
 DOES NOT INCLUDE INSURANCE

GRADE	1	2	3	4	5	6	7	8	9	10	11	12	13
1.0	0	5137	5258	5371	5485	5599	5728	5854	5982	6109	6237	6364	6498
2.0	5137	5258	5371	5485	5599	5728	5854	5982	6109	6237	6364	6498	6633
3.0	5594	5728	5854	5982	6109	6237	6364	6498	6633	6761	6893	7029	7166
4.0	6094	6237	6371	6519	6669	6801	6949	7096	7257	7418	7526	7632	7749
5.0	6644	6831	6949	7096	7257	7418	7586	7754	7928	8102	8217	8330	8451
6.0	7249	7418	7586	7754	7928	8102	8283	8465	8653	8841	8968	9096	9233
7.0	7916	8102	8283	8465	8653	8841	9042	9243	9451	9660	9800	9941	10081
8.0	8639	8841	9042	9243	9451	9660	9881	10102	10330	10558	10713	10869	11021
9.0	9438	9660	9881	10102	10330	10558	10800	11042	11290	11538	11706	11874	12043
9.5	9877	10109	10340	10572	10810	11049	11300	11552	11817	12081	12356	12630	12903
10.0	10316	10558	10800	11042	11290	11538	11800	12062	12343	12625	12906	13187	13468
10.5	10797	11051	11300	11553	11817	12081	12358	12645	12925	13219	13506	13797	14081
11.0	11273	11538	11800	12062	12343	12625	12913	13202	13504	13820	14136	14451	14766
11.5	11894	12081	12358	12635	12925	13219	13518	13820	14136	14451	14766	15081	15396
12.0	12335	12635	12913	13202	13504	13806	14121	14437	14766	15095	15417	15739	16061
12.5	12915	13219	13518	13820	14136	14451	14783	15117	15460	15807	16269	16631	17000
13.0	13489	13806	14121	14437	14766	15095	15444	15793	16155	16517	16899	17271	17653
14.0	14748	15095	15430	15766	16102	16436	16772	17108	17444	17779	18115	18450	18787
15.0	16138	16517	16853	17189	17524	17859	18195	18530	18866	19202	19537	19872	20210
16.0	17672	18067	18423	18759	19094	19430	19765	20101	20436	20772	21108	21444	21780
17.0	19338	19792	20227	20663	20799	21134	21470	21806	22140	22476	22812	23147	23481
18.0	21173	21621	22006	22342	22678	23013	23348	23684	24019	24355	24691	25027	25363
19.0	23193	23743	24074	24408	24744	25080	25416	25750	26086	26422	26757	27093	27426
20.0	25396	25993	26327	26663	26999	27335	27670	28006	28342	28676	29012	29348	29681
21.0	27822	28476	28851	29146	29482	29818	30153	30489	30824	31159	31495	31831	32166
22.0	30433	31199	31555	31871	32206	32542	32877	33213	33548	33884	34220	34556	34891
23.0	33394	34179	34514	34850	35186	35522	35856	36192	36528	36863	37199	37535	37870
24.0	36594	37434	37790	38125	38460	38796	39131	39467	39803	40139	40473	40809	41144
25.0	40108	41011	41385	41729	42058	42392	42728	43064	43399	43735	44070	44406	44741

STOP 0

- Highway Patrol Lieutenant Grade 15
(2 years as Highway Patrol Sergeant or any equivalent combination of education and experience)

- Highway Patrol Captain Grade 16
(2 years as a Highway Patrol Lieutenant or any equivalent combination of education and experience)

- Highway Patrol Major Grade 17
(appointed by the chief; no time in grade of Captain required)

- Highway Patrol Lieutenant Colonel Grade 18
(appointed by the chief; no time in grade as Major required)

- Headquarters Staff Positions
(appointed by the chief; no time in grade or specific rank required; based upon ability to perform the required tasks)

- Highway Patrol Colonel (Chief) Unclassified
(appointed by the Attorney General; must have been a continuous resident of Montana for 5 years)

Grade classifications of civilian employees in the Montana Highway Patrol range from Grades 5 through 12. The legal officer, although a civilian, has an unclassified position.

Entrance Salary. Initial appointment to the Montana Highway Patrol is made at the first step of pay grade 11.

Step Increases. Employees advance one step in the authorized grade for their class on the first day of the pay period occurring on or following his or her anniversary. See Table 5.2.

Longevity Pay. Each employee is eligible for longevity pay in addition to his or her basic salary under the following guidelines:

Each classified employee who has completed five (5) years of uninterrupted state service shall receive the amount obtained by multiplying the larger of ten dollars (\$10.00) per month or ten percent (10%) of the difference between the base compensation for their grade and step, and the base compensation for the corresponding step in the next highest grade, by the number of completed, continuous five (5) year period(s) of uninterrupted service with the state.

See Table 5.3 for longevity matrix established for state employees.

Promotions. Pay plan rules relating to a regular promotion require that:

- The new rate of pay shall not be less than the step one rate of the grade to which promoted.
- The new rate of pay shall be a pay increase for the affected employee of eight percent (8%) or more; except the appointing authority may authorize a lesser pay increase in situations where special adjustments are desirable.
- The new rate of pay shall coincide with one of the steps in the authorized grade.
- The new rate of pay shall not exceed a pay increase for the affected employee of more than ten percent (10%) per grade.

Graph 5.1 illustrates the present salary differential between ranks at the first step and the top step.

Analysis

While the state of Montana has recognized inequities in prior pay plans and did therefore legislate a State Classification and Pay Plan in accordance with valid personnel management concepts, we do believe that there are some deficiencies in the plan insofar as it applies to law enforcement officers.

The number of steps in any salary plan should depend upon the proficiency that an officer attains through training, increased on-the-job knowledge and experience. State law enforcement agencies as a group tend to have more salary steps. The only rationale for this difference would be that it takes a longer period of time for a state law enforcement officer to become proficient in his job as compared to a comparable municipal or county police officer. The IACP questions the validity of this rationalization.

Table 5.3

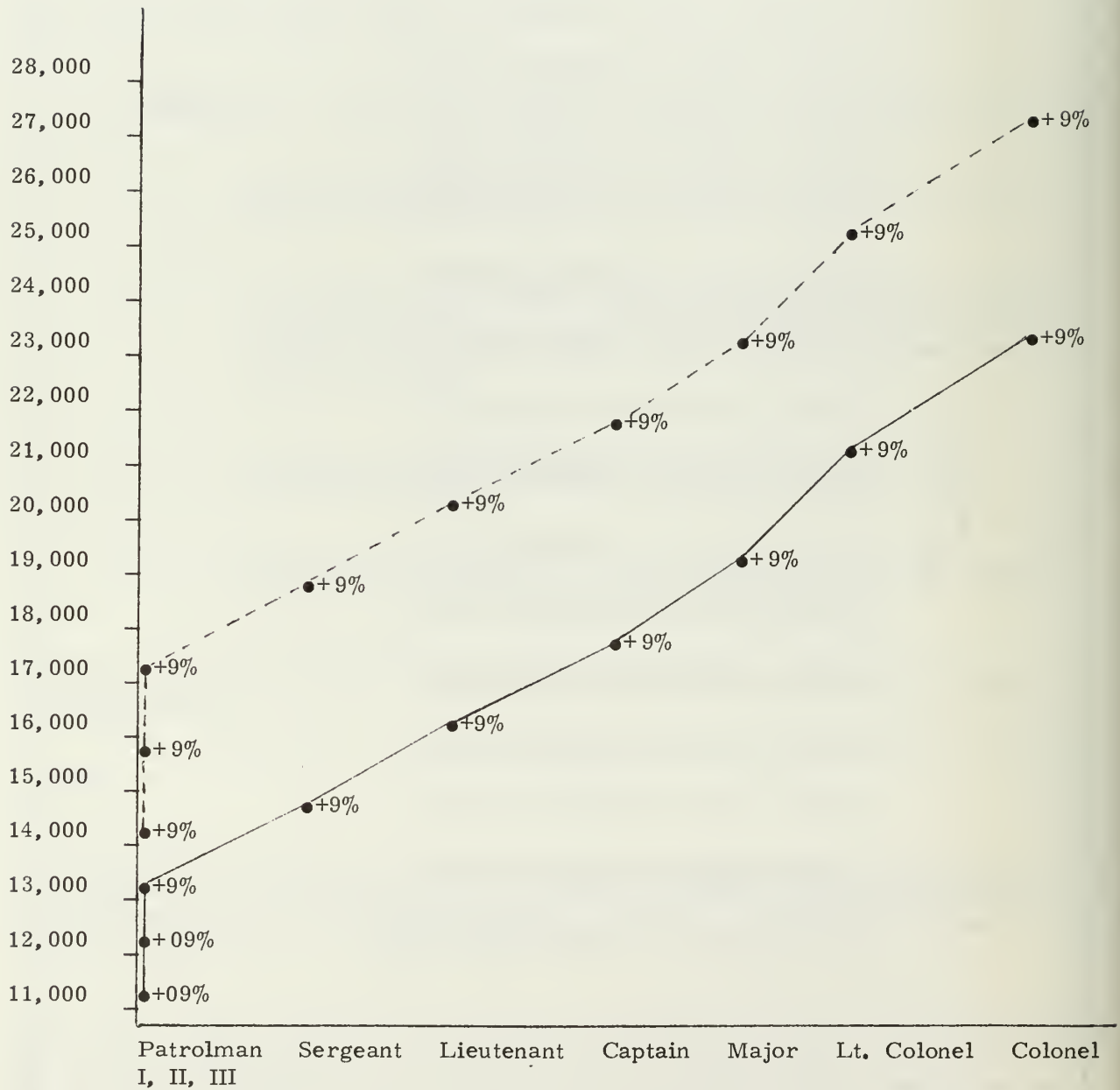
1977-1978 LOWRIE DISTRICT
HOURLY RATE FOR LOWRIE DISTRICT

GRADE	1	2	3	4	5	6	7	8	9	10	11	12
1.0	.030	.030	.038	.038	.038	.038	.038	.038	.038	.038	.038	.038
2.0	.038	.038	.038	.038	.038	.038	.038	.038	.038	.038	.038	.038
3.0	.038	.038	.038	.038	.038	.038	.038	.038	.038	.038	.038	.038
4.0	.038	.038	.038	.038	.038	.038	.038	.038	.038	.038	.038	.038
5.0	.038	.038	.038	.038	.038	.038	.038	.038	.038	.038	.038	.038
6.0	.038	.038	.038	.038	.038	.038	.038	.038	.038	.038	.038	.038
7.0	.038	.038	.038	.038	.038	.038	.038	.038	.038	.038	.038	.038
8.0	.038	.038	.038	.038	.038	.038	.038	.038	.038	.038	.038	.038
9.0	.038	.038	.038	.038	.038	.038	.038	.038	.038	.038	.038	.038
9.5	.038	.038	.038	.038	.038	.038	.038	.038	.038	.038	.038	.038
10.0	.038	.038	.038	.038	.038	.038	.038	.038	.038	.038	.038	.038
10.5	.038	.038	.038	.038	.038	.038	.038	.038	.038	.038	.038	.038
11.0	.038	.038	.038	.038	.038	.038	.038	.038	.038	.038	.038	.038
11.5	.038	.038	.038	.038	.038	.038	.038	.038	.038	.038	.038	.038
12.0	.038	.038	.038	.038	.038	.038	.038	.038	.038	.038	.038	.038
12.5	.038	.038	.038	.038	.038	.038	.038	.038	.038	.038	.038	.038
13.0	.061	.062	.063	.064	.064	.064	.064	.064	.064	.064	.064	.064
14.0	.067	.068	.068	.068	.068	.068	.068	.068	.068	.068	.068	.068
15.0	.074	.075	.075	.075	.075	.075	.075	.075	.075	.075	.075	.075
16.0	.080	.082	.082	.082	.082	.082	.082	.082	.082	.082	.082	.082
17.0	.088	.090	.090	.090	.090	.090	.090	.090	.090	.090	.090	.090
18.0	.097	.099	.099	.099	.099	.099	.099	.099	.099	.099	.099	.099
19.0	.105	.108	.108	.108	.108	.108	.108	.108	.108	.108	.108	.108
20.0	.117	.121	.121	.121	.121	.121	.121	.121	.121	.121	.121	.121
21.0	.128	.131	.131	.131	.131	.131	.131	.131	.131	.131	.131	.131
22.0	.140	.143	.143	.143	.143	.143	.143	.143	.143	.143	.143	.143
23.0	.154	.157	.157	.157	.157	.157	.157	.157	.157	.157	.157	.157
24.0	.169	.173	.173	.173	.173	.173	.173	.173	.173	.173	.173	.173
25.0	.186	.188	.188	.188	.188	.188	.188	.188	.188	.188	.188	.188

*STGPs 0

GRAPH 5.1

PRESENT SALARY DIFFERENTIALS BY RANK
 FIRST STEP AND LAST STEP
 MONTANA STATE HIGHWAY PATROL



_____ First Step of Rank

- - - Top Step of Rank

The major issue concerns the length of time necessary for a patrolman to reach a point where experience and training are maximized, recognizing, at the same time, that learning will continue throughout his lifetime. Generally, the average officer's learning experience in a single position peaks after five years of service, and the gradual curve continues until he is placed into a new job classification, promoted, or leaves the department. Consequently, a reasonable salary schedule should consist of five steps.

The present longevity pay system compensates an employee for his years of service to the state. Since salary increases are based on merit, we would also assume that a condition of longevity pay is satisfactory job performance. The mere fact that an employee has completed a number of years of service does not necessarily mean that his job performance has improved or has been maintained. Actually, the opposite is more likely to be true, especially for an employee who has reached a plateau in his career. It is felt that salary incentives should be continued, but should be based on a career development program rather than length of service.

Recommended Salary Administration Plan

It is recognized that the determination of a salary plan for the Montana Highway Patrol involves two considerations:

1. What is reasonable in terms of the ability of the state to pay?
2. What is equitable compensation for the performance of the highway patrol task?

One way to establish the reasonability of a salary plan is to compare it with those of other police agencies of a similar type and location. In making this comparison, there are two considerations that should be kept in mind. First, the nature of police duties varies from state to state, and second, the types of state agencies vary due to political restrictions. The first type is the state police agency with full police powers, the second is the highway patrol with authority limited to traffic enforcement, and the third—and more recent trend—is the department of public safety with broader police and public safety functions.

In Table 5.4, we have illustrated comparisons of patrolman salary levels with other state highway patrol agencies.

In Table 5.5, we have illustrated comparisons of salary levels with agencies of a full police authority type as well as other highway patrol types in the immediate geographical area.

TABLE 5.4

RANK ORDER OF STATE HIGHWAY PATROL AGENCIES
BY PATROLMAN STARTING SALARY

1977-1978 FISCAL YEAR

<u>Rank</u>	<u>Agency</u>	<u>Starting Salary</u>	<u>Maximum</u>
1	California	16,512	18,864
2	Washington	14,084	18,080
3	Colorado	13,476	17,664
4	Minnesota	13,464	18,204
5	Nevada	11,676	17,532
6	Arizona	12,360	18,264
7	Montana	12,335	17,249
8	Alabama	12,259	14,417
9	Missouri	12,000	21,420
10	Wyoming	11,676	14,916
11	Texas	11,616	14,148
12	Ohio	11,540	14,329
13	Wisconsin	11,469	15,435
14	North Dakota	11,196	16,560
15	Nebraska	11,148	15,312
16	Kansas (KSHP)	10,896	13,692
17	Utah	10,704	17,280
18	Georgia	10,692	16,830
19	Florida (FLHP)	10,669	14,970
20	Mississippi	10,620	17,820
21	North Carolina	10,596	15,180

TABLE 5.4 (Continued)

<u>Rank</u>	<u>Agency</u>	<u>Starting Salary</u>	<u>Maximum</u>
22	Iowa	10,322	17,550
23	South Dakota	10,134	15,845
24	Oklahoma	9,900	12,540
25	South Carolina	9,551	14,717
26	Tennessee	9,036	12,168

TABLE 5.5

COMPARISON OF POLICE OFFICER SALARIES
(PATROLMAN OR TROOPER)
MONTANA HIGHWAY PATROL AND CONTIGUOUS STATES
1977-1978 FISCAL YEAR

<u>State</u>	<u>Minimum</u>	<u>Maximum</u>
Montana	12,325	17,249
Wyoming	11,676	14,916
North Dakota	11,196	16,560
Idaho	10,512	12,780
South Dakota	10,134	15,845

We propose that the Montana Highway Patrol salary structure, in terms of overlapping salary steps and the number of salary steps within each rank, should be improved. The minimum salary for patrol officers should be adjusted to allow them to attain their maximum in four annual step increases of five percent, as opposed to 13 narrow step increases.

Further, salary steps in each of the successive ranks should be computed in terms of the police officer's base salary, as illustrated in Table 5.6. The effect of this salary program will be salary increases occurring principally at the police officer level, while the salaries for ranks of sergeant and above will be stabilized. The policy for future salary increases should be to compute on a basis of percentage increases, as

TABLE 5.6

RECOMMENDED SALARY RELATIONSHIPS
MONTANA HIGHWAY PATROL

<u>Position</u>	<u>Percentage Differences</u>		
	<u>Salary Steps</u>		
Highway Patrol Officer I	Base		
Highway Patrol Officer II	+5%		
Highway Patrol Officer III	+10%		
Senior Highway Patrol Officer	+15%		
Master Highway Patrol Officer	+20%		
Sergeant	+45%	+55%	+65%
Lieutenant	+75%	+85%	
Captain	+95%	+105%	
Major	Open	Open	
Lieutenant Colonel	Open	Open	
Colonel	Open	Open	

opposed to fixed dollar increases at different levels. Computing salary increases from the base salary in the manner recommended will insure a stabilized and continuing relationship among the various ranks.

Table 5.6 also proposes a salary schedule which reduces the number of salary steps. The progressive attitude of providing adequate compensation should be continued, but attention should be given to long-range programs which will provide annual review of the salary plan based on competing labor markets in private industry and other government agencies in the region, cost of living considerations, and other factors relevant to the government service. However, it should be remembered that (1) the government is basically tax-supported and is therefore not directly related to the wage-profit relationship, and (2) it is a monopoly in the area of most services and is not subject to the competitive nature of private enterprise. The limit on public salaries is determined by the capacity and the willingness of the taxpayer to pay. Therefore, theoretically, each community gets the type and quality of service it desires by its willingness to pay. National inflationary trends, the competitive labor market, and a desire to upgrade the quality of personnel require a continuous reevaluation of the salary base.

Recommendations

1. Conduct annual reviews of salary schedules and make adjustments when appropriate.
2. Exempt the Montana Highway Patrol from the rigid requirements of the State Classification and Pay Plan as recommended in the text.
3. Consider a revised plan wherein highway patrolmen may reach the top of their grade salary scale in 4 annual steps rather than the present 13 as discussed in the text.
4. Change the longevity pay plan for the highway patrol to a merit system and base longevity pay upon satisfactory job performance under a career development program rather than length of service.
5. Adjust salary relationships in the Montana Highway Patrol in accordance with the percentage difference between ranks as recommended in the text and illustrated in Table 5.6.

Section 8 - Working Conditions

While salary is a major consideration when analyzing working conditions within an organization, many other factors such as job satisfaction and increased productivity also act as incentives for employees. They are also a prime factor for consideration in terms of overall costs to an employer.

Hours of Work

Although not specifically outlined in the Operations Manual, uniformed field patrol officers normally work 2-2-2 off 2, 2-2-2 off 2, and 2-2-2 off 3 with variations which average out to an approximate 40 hour week. Administrative and staff personnel normally work 5 and off 2 for a 40 hour week. An analysis and further discussion of work shifts will be included in the Uniformed Patrol Operations chapter of this report.

Daily work hours are scheduled for 9 hours with 1 hour off for lunch. We believe this may be proper for administrative and staff personnel but improper for uniformed patrolmen.

We recommend that uniform patrolmen be scheduled for 8 hour work days. Approximately 30 minute lunch periods should be allowed but the officer should remain on duty

and be on call during this lunch period either through radio contact or by a telephone number furnished to the dispatcher. Scheduling a 9 hour day with a so-called one hour for lunch virtually forces an officer to go off duty for one hour or he is, in fact, contributing one hour of extra duty each day of his own time. Such an arrangement also induces an officer to drive home for his lunch period if he is anywhere near the area. This will, in most cases, take him away from his duty station.

We believe that the 8-hour workday with built-in lunch limitations will improve both morale and efficiency.

Table 5.7 shows a comparison of employee benefits for the Montana Highway Patrol and contiguous state agencies.

<u>State</u>	<u>Vacation</u> <u>Days</u> <u>Min Max</u>	<u>Holidays</u>	<u>Normal</u> <u>Workday</u> <u>(Hours)</u>	<u>Normal</u> <u>Workweek</u> <u>(Hours)</u>
Montana	15 - 24	10	9	40
Wyoming	12 - 24	9	8	40
North Dakota	12 - 24	9	8	40
Idaho	10 - 20	11	8.5	42.5
South Dakota	15 - 20	9	9.2	46

Table 5.8 shows a comparison of workweek by hours of 45 state highway patrol and state police agencies.

Overtime

There are no provisions in the department's Operations Manual dealing with overtime. Overtime compensation and rates of pay are briefly covered, however, under Article 7.6 of the Collective Bargaining Agreement, which sets forth the basis for authorization and rates of pay. In general, the department is provided with a limited amount

of money per fiscal year for the payment of overtime based upon emergency time only. Effective July 1, 1978, the rate of overtime pay was raised from straight time to time and one-half.

TABLE 5.8

COMPARISON OF WORKWEEK BY HOURS
45 HIGHWAY PATROL AND STATE POLICE AGENCIES
1978

	<u>Normal Workweek in Hours</u>								
	<u>37+</u>	<u>40</u>	<u>42.+</u>	<u>45</u>	<u>46</u>	<u>47+</u>	<u>50</u>	<u>56</u>	<u>60</u>
Number of Agencies	1	29*	2	8	1	1	1	1	1
Percentage of Total	2.2	64.4	4.4	17.8	2.2	2.2	2.2	2.2	2.2

*Montana
Highway Patrol
(40 Hours)

We believe that the state should compensate personnel, up to and including the rank of lieutenant, for all overtime incurred beyond the regular workday. There are several ways that this can be accomplished. First would be to allow compensatory time off. This method has several disadvantages, as it causes additional manpower shortages, is difficult to administer, and becomes a bookkeeping problem to maintain. The second—and generally more acceptable method—is to compensate at a set rate. This rate could be set at straight hourly pay, although the standard in private enterprise and many public agencies is at time and one-half. The third method is to pay an overtime percentage, such as is done in the federal agencies. This eliminates some of the administrative problems, but does not provide equity for overtime. Each officer would receive a standard amount, even if he did not work any overtime, and another officer would get the same amount, even if he worked a considerable amount of overtime.

In weighing all factors, we recommend that the state continue compensation of overtime on a time and one-half basis. It should be figured in hourly steps with any portion beyond 30 minutes computed as an hour.

A general order should be issued by the department and included in the newly proposed Manual of Rules and Procedures, setting forth policy for overtime compensation, priority for payments of overtime, and establishing detailed guidance for the administration

of the overtime program. A specific form should be designated for overtime application; there should be an approval by a supervisory officer and a reviewing officer; specific distribution of the form should be noted, etc.

Annual Leave and Holidays

Annual leave and holiday entitlements are contained in RCM Chapter 10, Section 59-1001; policy 3-0305 of Volume III, Montana Operations Manual, published by the state Department of Administration; Article 13 of the department Collective Bargaining Agreement; and S5-33 of the Highway Patrol Operations Manual.

We believe that the present practice of providing annual leave on a graduated scale, with longer periods accruing with increased tenure is consistent with modern principles of personnel administration. Listed legal holidays in addition to general election days and days proclaimed by the Governor as holidays for state employees appear to be adequate. See Table 5.9 for a comparison of holidays granted annually to other state law enforcement agencies.

TABLE 5.9

COMPARISON OF NUMBER OF HOLIDAYS GRANTED ANNUALLY
48 STATE HIGHWAY PATROL AND STATE POLICE AGENCIES
1978

	<u>Number of Holidays Granted</u>		
	<u>7-9</u>	<u>10-12</u>	<u>13-15</u>
Number of Agencies	13	28*	7
Percentage of Total	27	58.3	14.6

*Montana Highway Patrol
(10 Holidays)

There is great need for the department to produce a general order summarizing the requirements of the above references and setting forth a program of procedures on annual leave and holidays in the newly proposed Manual of Rules and Procedures. It should be remembered that patrolmen routinely do not have access to RCM or to the policy rules of the Montana Department of Administration.

Uniform Allowance

The present original issue of uniform clothing and accessories with an annual \$225 replacement allowance appears to be adequate. We do, however, have serious reservations about the variations of uniforms authorized and worn and the total extent of uniform clothing and accessories originally issued. From our observations and discussions with members, it was also noted that it has been a considerable time since such items as uniforms and equipment in general were reviewed.

Equipment invariably becomes outdated and obsolete at some point in time, and consideration should be periodically given to eliminating, updating, or replacement. Other more pressing priorities frequently push this important issue into the background.

It need not be a full-time job for anybody. It could be handled effectively by a steering committee comprised of patrolmen who are assigned to patrol duties. It is recommended that each district commander be directed to appoint a patrolman currently assigned to patrol duties to serve on the committee. Chairmanship could be on a rotating basis, changing perhaps every three or six months, beginning with either District 1 or District 5 and revolving either clockwise or counter-clockwise. It would probably be impractical for the entire committee to meet on a regular basis, so this could be handled through the mail and by telephone, with the chairman soliciting input from the other five members on a monthly or sometimes more frequent basis. Naturally, all committee members would be expected to solicit input from all Highway Patrol officers in their district.

Reports with recommendations should be submitted by the chairman to the office of the chief for his review. Although the chief could respond on his own, it would be entirely appropriate if the reports were then submitted to a staff unit such as the Research and Development Section for review of financial and other considerations. It would be essential that the committee receive feedback on its input, pro or con.

Areas of concern for the committee could include, but would certainly not be limited to:

- Uniform and auxiliary equipment
- Sidearms
- Rifles
- Shotguns

- Vehicles and vehicular equipment
- Communications equipment

Sick Leave and Injuries on the Job

All members and employees are entitled to sick leave benefits as set forth in RCM, Chapter 10, Section 59-1008; Policy 3-0310 contained in Volume III, Montana Operations Manual published by Montana Department of Administration; and S5-29 through S5-33 of the Highway Patrol Operations Manual.

There is no restriction on the maximum number of sick days a member may accumulate. Sick leave credits are earned at the rate of twelve (12) working days for each year of service. Eligible employees are entitled by law to receive a lump sum payment upon termination equal to one-fourth of the pay attributed to the unused sick leave accrued after July 1, 1971. Workers compensation payments are for the purpose of offsetting the loss of income suffered by an employee who is injured on the job. An employee who is injured on the job has the option of taking either sick leave or workers compensation payments, but not both concurrently. Reporting requirements are contained in the Operations Manual.

Although IACP does not recommend any changes in procedures, we do recommend that a general order be prepared summarizing the requirements and procedures listed in the three references given above and the general order be included in the newly proposed department Manual of Rules and Procedures.

Insurance

Permanent employees of the state are eligible to receive the state contribution of \$20 per month for health insurance. State employees who are members of a collective bargaining unit shall receive the amount negotiated with the state for the insurance contribution.

The shared insurance contributions provided show an indication of the interest and attention of management for the welfare of its personnel. It should be noted, however, that nationally, the trend is for a larger share of insurance benefits being paid by the employer. Since such benefits are common, the department must continually reassess the scope of such supplementary benefits and make adjustments whenever necessary.

Retirement

Each member of the department contributes six and one-half percent (6 1/2%) of his monthly salary to the retirement system and the state contributes sixteen percent (16%).

Members are eligible to retire with twenty (20) years of service and are compelled to retire upon attaining the age of sixty (60) years. The service retirement allowance is computed as follows: 20 through 25 years, 2% of his final salary for each year of service; over 25 years, 2% of his final salary for each year of service through the 25th plus 1% of his final salary for each year of service past 25. The present system appears to be actuarially sound and adequate in comparison to law enforcement pension systems nationwide.

Salary Supplements

Each patrolman of the Montana Highway Patrol receives a monthly subsistence allowance of \$65.00 which is paid in lieu of meal allowances provided for travel of less than that of an overnight nature, claims for monthly telephone allowance, specified meal allowance, coin-operated car wash expenses, half sole and registration fees.

The United States Supreme Court in The Commissioner of Internal Revenue, Petitioner vs. Robert J. Kowalski et ux., U.S.: 54L Ed. 2nd 252, 985. Ct. (No. 76-1095) decided 11/29/77 that subsistence allowances paid to state troopers must be included in gross income.

The Internal Revenue Service subsequently indicated they would pursue the collection of federal income taxes back to year 1971 and solicited cooperation of the New Jersey State Police in keeping this particular issue open for audit back to 1971. The above referenced decision seriously affected the financial status of members of the New Jersey State Police and 14 other state police/highway patrol organizations.

As a result of the serious financial issue raised by this decision, House bill 12841 and Senate bill 3147 were submitted to Congress and the compromise bill was passed and became public law October 7, 1978 (P.L. 95-427). Under the provisions of this new law subsistence allowance paid to state police officers prior to January 1, 1978, shall not be included in the officer's gross income. It does not exempt subsistence allowance from gross income on and after January 1, 1978.

We call the department's attention to this critical financial issue and recommend that payrolls and W2 forms be adjusted accordingly. The provisions of Public law 95-427 should also be brought to the attention of all personnel.

Commendation Program

Recognition is one of the recognized basic needs which all persons seek. This need can be utilized to provide additional employee motivation and morale. Procedures should be initiated to provide standardized recognition steps. These steps should range from citizens' commendations, verbal comments from superior officers, and personal written commendations from the chief to formal certificates or medals which

can be worn as part of the uniform. In the appendix, we have included a sample program which should be considered for a formal commendation system.

Recommendations

1. Consider the assignment of uniformed patrolmen in the field to 8-hour tours of duty with approximately 30 minute on-duty, on-call lunch periods included therein.
2. Develop a new general order, setting forth policy for overtime compensation, priority for payments, and establishing detailed guidance for the administration of overtime.
3. Include overtime pay to personnel up to and including the rank of lieutenant for all overtime incurred beyond the regular workday.
4. Insure that overtime work is approved by a supervisory officer and that the application for payment is approved by the same supervisory officer and a higher ranking reviewing officer.
5. Develop a new general order establishing detailed guidance for the administration of annual leave and holidays.
6. Assign the Research and Development Section a project to perform an objective staff study of the present system of issuance of uniforms and accessories. Make particular note of the variations of uniforms authorized and worn and the total extent of uniforms and accessories issued. Utilize cost benefit analysis in the study.
7. Consider the appointment of a standing Uniforms and Equipment Steering Committee to provide input to the chief for his review as recommended in the text.
8. Develop a new general order establishing detailed guidance to members and employees on the administration of sick leave and injuries on the job.
9. Continually reassess the scope of health insurance contributions by the state and make adjustments whenever necessary.
10. Revise salary supplements to conform to Supreme Court case law as discussed in the text.

11. Develop a general order commendation program defining and standardizing recognition steps for a formal commendation system. See sample program included in the appendix.

Section 9 - Grievance and Appeals Procedure

As an adjunct to a centralized internal affairs unit, police agencies should develop a grievance and appeals procedure for members and employees. The purpose of the grievance and appeals procedure should be to provide an orderly system of resolving employee grievances in an equitable and timely manner without fear of reprisal. Every effort should be made to reach a clear understanding of the exact nature and facts of grievances received and of the relief requested, and to explore sound resolution of the grievance.

Grievance procedures should contain the following provisions or features:

1. Grievance procedures should have a foundation in law.
2. They should be applicable to any grievance, including those concerned with salaries and other benefits under the control of the department.
3. They should make provisions for handling suggestions as well as grievances.
4. At the option of the initiating employee, a provision should be made to have grievances routed through the chain of command for possible disposition before further steps are taken. In the first phase, the grievance should be analyzed at the district level.
5. A review committee should be appointed by the chief and consist of representatives from all levels of command. This committee should screen all suggestions and grievances for possible solutions. These can be forwarded to the chief for resolution or final approval.

Present Complaints-Criticism Procedure

The Montana Highway Patrol has included a complaints-criticism procedure in their Operations Manual (page S5-40) which reads as follows:

"Members of the Patrol who have complaints against other members shall make such complaints to their district supervisor. The complaints against

members with rank of sergeant or lieutenant shall be made to the members' division supervisor. Complaints against members with the rank of captain or above shall be made directly to the chief. All such complaints or recommendations shall cite specific acts or omissions.

Patrolmen must learn to accept constructive criticism and to ignore slight affronts from those with whom they have dealings."

We believe that while this order was well intended, it virtually closes the door to anyone desiring to make a complaint and is extremely risky for the complainant at best. The order also allows the complaint to be stopped at any supervisory level—regardless of how aggravated or important it may be.

Article 8 of the Collective Bargaining Agreement between the State of Montana and Montana Public Employees Association, Inc., contains a grievance procedure, rules of grievance processing, and an arbitration process. This procedure, however, was established for the purpose of adjusting all complaints, disputes, controversies, or other grievances arising between the Highway Patrol (employer) and the Montana Public Employees Association, Inc., (Association) (employees) involving questions of interpretation or applications of terms and provisions of the agreement or any other controversy or dispute having occasion to arise between the parties.

We are not sure from this language that this grievance procedure was intended to apply to issues not specifically addressed in the agreement and we think that many grievances may arise that cannot be interpreted as issues between the employer and employee. This matter should be researched in depth by the department legal officer.

Proposed Grievance/Suggestion Procedure

We propose that the department develop a sound grievance procedure which will cover a wide range of subjects with many variations of circumstances. The difference between a suggestion and a grievance should be established and a means of transmitting suggestions or grievances should be provided.

The IACP recommended principles for the development of a departmental grievance procedure is included in the appendix to this report along with a sample grievance/suggestion transmittal report form. The grievance procedure principles are written to embrace a city police agency; however, the transition of terms applicable to a state level agency may be easily made by the developer.

We further propose that the "Personnel Policies and Procedures" contained in Volume III of the Montana Operations Manual, published by the Department of Administration, the state Administrative Code, the department Collective Bargaining Agreement, and pertinent state statutes be researched to insure that the new grievance/suggestion procedure developed is in conformance with the requirements of above references.

Recommendations

1. Research state Personnel Policies and Procedures, the state Administrative Code, and the department Collective Bargaining Agreement, and pertinent state statutes to obtain fundamental requirements to be included in a departmental grievance/suggestion system.
2. Develop a departmental grievance/suggestion system as discussed in the text and outlined in the IACP Grievance Procedure included in the appendix.
3. Develop a departmental grievance/suggestion transmittal form as discussed in the text and included by example in the appendix.
4. Insure that an orderly system of resolving members' and employees' grievances/suggestions is accomplished in an equitable and timely manner without fear of reprisals and that it has a foundation in law.

Section 10 - Training

In the past, police agencies have assumed that when a recruit came to them he had attained an adequate level of education and that the only process needed to turn him into an effective officer was training in the how-to-do-it type skills. In the days when law enforcement was not as complex as it is today, this philosophy may have been justified. Today, however, it is erroneous and dangerous. The myriad of social problems confronting a dynamic society, the rapid advancement of technology, and the quest for professionalism have created needs that only sound training can help satisfy. Modern law enforcement agencies must not only provide adequate training programs for their personnel, but must also insure that their educational attainment meets a certain level of quality.

Present Organization for Training

The training function of the department is presently the responsibility of the Personnel and Training Section. This section, staffed with one captain and a shared secretary, carries the primary burden of developing and implementing the training programs offered by the department. The training staff consists of both personnel selected from the field for their proficiency who are assigned to teach classes at the training academy, and personnel from outside sources. The present permanently assigned training staff is inadequate for the training needs of a department the size of the Montana Highway Patrol.

Recruit Training. Applicants passing selection qualifications and examinations and appointed to attend the recruit training school located at Montana State University

in Bozeman must successfully complete an 11-week (660 hour) course of instruction. Upon completion of the training school, each trainee is given a numerical rank or standing based on the following factors:

1.	Entrance examination	5%
2.	Academic grades	50%
3.	Class evaluation	25%
4.	Instructor evaluation	20%

All trainees who successfully complete the training school are either immediately appointed or are placed on the reserve list. The trainee with the highest numerical rank is offered the first vacancy, and so on, until all successful trainees have been appointed.

Other Training. Due to personnel shortages the department has only been able to develop and support a limited amount of in-service and specialized training courses. An augmentation of personnel with full-time training responsibilities is needed to improve the training posture of the department.

Analysis of Training

Police training programs should be designed to prepare recruit officers to conform to the high standards expected of them, to maintain and develop skills while on the job, to provide supervisory and command officers with the skills and knowledge necessary for them to perform their assigned tasks, and to prepare officers for future advancement. Adequate programs cannot be prepared, presented, and kept continuously updated by personnel assigned to the training function on a part-time basis. The proper administration of any training program requires the utilization of full-time personnel. The selected personnel, by merit, intelligence, educational attainment, attitude, and job performance, should have the knowledge and experience, general education, and ability to use innovative training methods required to impart information to others.

Proposed Organization for Training

As noted in the organization and span of control chapter of this report, we have proposed the organization of a new Personnel and Training Section, commanded by a lieutenant and initially staffed with a sergeant and a full-time secretary. The sergeant would have full-time responsibility for the administration and implementation of the department's training programs under the direct supervision of the lieutenant commanding the Personnel and Training Section and under the overall supervision of the captain

commanding the Administrative Services Bureau. As the department's in-service, supervisory, management and specialized training programs are developed, the department should consider additional assignments of full-time personnel to the training function.

Some of the training responsibilities that the Personnel and Training Section should perform include:

- Recruit training
- In-service training
- Specialized training
- Training bulletins
- Career development programs

The Personnel and Training Section commander should select a training staff to assume the instructional and program development duties. This staff should be of the caliber described previously. Although some instructors should be drawn from outside sources, such as the Federal Bureau of Investigation, Secret Service, Drug Enforcement Administration, state regulatory agencies, etc., as well as from within the department, the permanent training officers should present a major part of the instruction, especially at the recruit level.

Facilities. The Montana Highway Patrol utilizes facilities of the Montana Law Enforcement Academy Bureau, which is located at the Montana State University in Bozeman. The academy is directed by an Academy Bureau Chief and is administered by the Board of Crime Control. A Peace Officer's Standards and Training Advisory Council was created in the Board of Crime Control to advise the Board concerning the administration and purposes of rules and regulations on minimum standards for the selection and training of peace officers in Montana. Montana is fortunate to have this facility available for law enforcement training at all levels.

Training Objectives. A well-trained officer is a desirable commodity and one which is eagerly sought by all police administrators. In our modern society, training in the police service should become a continuous process. Unfortunately, the public demand and the need for public services often force administrators to relegate training to a noncritical level. Additionally, there are many administrators who fail to recognize the important role that training should occupy in their respective agencies. In seeking funds for their departments, administrators frequently make the mistake of assigning priority values to the solution of those problems which may have actually

been caused by the lack of adequate training. All too often, training appears to be a topic that is thought about, frequently discussed, but rather sadly implemented.

Selection program standards should be correlated with training standards in order to reach certain levels of performance. Chart 5.1 illustrates the relationship between selection and training. From this illustration, we may infer that training cannot be expected either to correct a poor selection program or to improve materially the performance of someone who does not possess the basic qualifications necessary to achieve a desired level of output. If police officers are not selected on the basis of high standards, subsequent training programs will be futile.

Foremost in any effort to develop training programs beyond a basic recruit level is the identification of so-called "training needs." Training merely for the sake of training is a wasted and fruitless activity. Training that is geared to reaching definite objectives will undoubtedly yield considerable benefit from the investment of time and money. These objectives should include:

- Providing additional skills
- Correcting defective practices
- Explaining new procedures, policies, and practices
- Reviewing the implications of new judicial findings

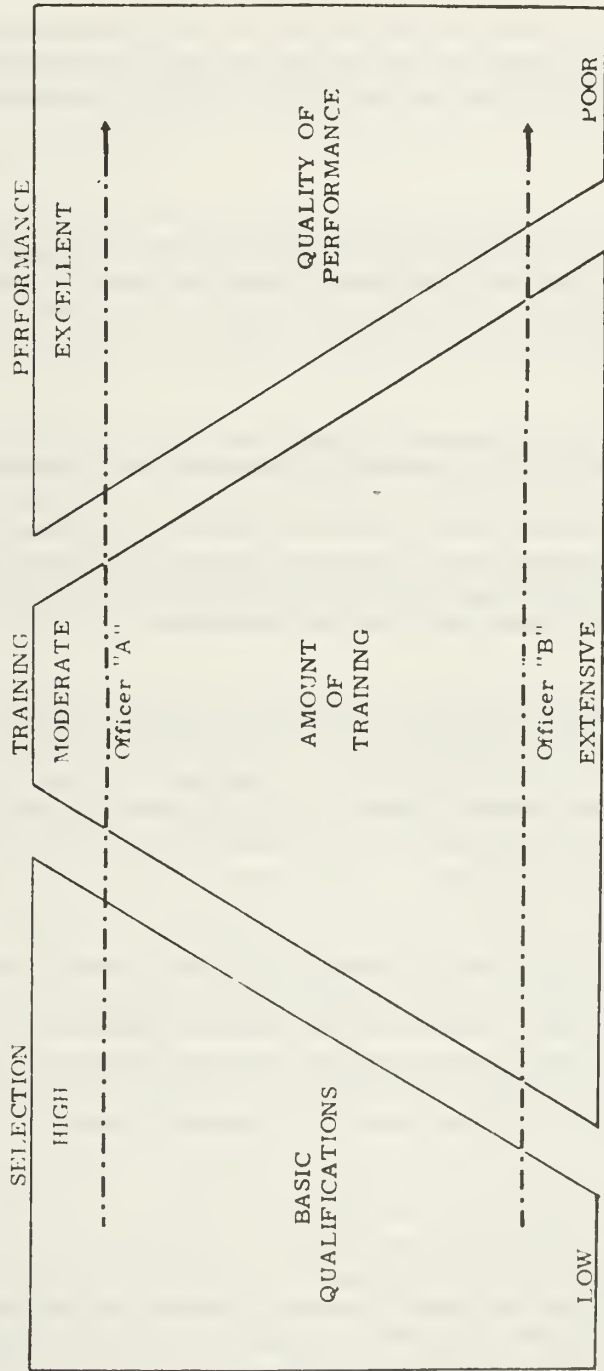
The identification of training needs requires structure and process within an organization. Responsibility should be fixed and efforts should be undertaken to monitor existing operations, practices, and procedures in order to determine if everything is being accomplished according to plan. If it is not, determinations should be made as to whether or not training is needed to correct those deficiencies that have been identified, and if so, what kind of training is needed (course content, facilities, staff, equipment, etc.). Finally, any training program devised should be carefully planned and scheduled to realize optimum benefit.

Recruit Training

Recruit training is one of the most important phases of an officer's career. It introduces him to standards and practices that he will follow for years to come. In some basic areas, the recruit needs to acquire considerable proficiency before leaving the classroom, but in other subjects he can only gain in-depth knowledge with practical experience.

CHART 5.1

RELATIONSHIPS AMONG SELECTION, TRAINING, AND PERFORMANCE



A highly qualified officer receives MODERATE training and turns out to be an EXCELLENT performer. A poorly qualified officer gets EXTENSIVE training, but remains a POOR performer.

Source: Thoughts on Police Training, Nelson A. Watson, Ph.D., LACP, October 1964.

IACP Chart

The Montana Highway Patrol and the head of the Personnel and Training Section are to be commended for their recruit training program. The program format is extensive and generally covers the practical police problems that might be experienced.

Curriculum. Before a recruit can receive a probationary commission, he must complete and successfully pass the recruit training program. Recruit training is part of the overall selection process and is utilized to screen out candidates who are not acceptable.

The course is 11 weeks in duration and consists of 660 hours of scheduled subject matter. Even taking into account that four of these hours are scheduled for notetaking and orientation and 60 hours for physical exercise, there still remains 596 hours of structured subject matter. If this were broken down into 8-hour days and 5-day weeks, it would represent approximately 75 days or 15 weeks of training.

The subject content of the program is typical for state highway patrol agencies. It covers accident investigation, crash injury management, traffic law enforcement, police vehicle operation, roadblocks, code book, and many other traffic related subjects. It touches on special state problems, Montana geography and history, and P. S. C., D. O. T. and I. C. C. regulations. It places adequate emphasis on highway safety, driver training, traffic enforcement, and pursuit driving. The curriculum provides a proper balance of classroom training and practical exercise.

Deficiencies noted include the lack of an administration of justice subject to orient the trainee on the total criminal justice system, patrol procedure with its many variations for more effective enforcement, emergency medical services, criminal investigation and Indian affairs. While heavy emphasis is given to accident investigation, a review of fatality accident reports generally revealed a poor quality of investigation and reporting.

Analysis. As previously stated, the recruit training course follows the standards of the more progressive state highway patrol agencies. Students are required to take notes plainly written in ink or typewritten and placed in a permanent binder. Frequent inspections are made of notebooks and each student is held accountable for the completeness and accuracy of his notes. Examinations and evaluations are given frequently and trainees are required to do satisfactory work.

Trainees are required to be neat and clean at all times. Great emphasis is placed on military bearing and inspections are conducted at any time. The course is highly regimented, disciplined, and demanding. Any student who lacks a sincere desire to become a Montana Highway Patrol officer soon leaves the program voluntarily. Students displaying an inability to perform adequately are dismissed.

Field Training. While the present field training evaluation of probationers is excellent, we propose that the field level or on-the-job training system be improved

and strengthened. As a part of the recruit training program, the probationer should be assigned to a field training officer. Field training should be a part of the overall recruit training program, and its administration should be the responsibility of the Personnel and Training Section.

The field training program should consist of periodic assignments to various field units during recruit training and an indefinite period of training in the field after permanent assignment in the department. The effectiveness of the field training program depends upon four essential conditions:

1. Training in the initial phase should be adequate. The recruit should have assimilated sufficient training to allow him to engage effectively in field assignments under the close supervision of the field training officer.
2. The field training officer should be properly selected and qualified to train others and should be a volunteer.
3. There should be a well-planned and tested field training guide. The field training officer should cover a majority of situations that the police officer would normally encounter during his tour of duty.
4. There should be a continuous evaluation of the recruit's performance.

The field training phase should be considered as a definite part of the training program and not just a routine assignment of an individual to a specific unit. This assignment should be temporary and for training purposes only. The influence of field training is even more profound than classroom training. The early working experience with another police officer will have a lasting influence on the officer's service to the department. If there is no formal field training program or if the selection of field training officers is left to chance, the recruit will be exposed to a variety of experiences without gaining any significant understanding of them. If the senior officer himself is incompetent or uninterested, his incompetence will rub off on the younger officer and mediocrity will be perpetuated. If the senior man's attitude or philosophy is at variance with that of the profession, a disaffected, disloyal or disinterested recruit may be produced. If the senior man's integrity is not absolute and if the new recruit sees evidence of it, the new man can conceivably be a continuing problem to the department as long as he is employed.

Field training officers should be carefully selected, since the success of the program depends to a great degree on their competence and ability to instruct and guide the actions of the recruit. Field commanders should assist in the selection of capable police officers to serve as field training officers. Factors on which to base selection include:

1. A desire to serve - only volunteers should be considered for duty as field training officers. No amount of instruction can compensate for a lack of this quality.
2. Ability - field training officers should have mastered the tasks of uniformed patrol. They should be able to demonstrate to the new officer the proper techniques for the accomplishment of both routine duties and unusual assignments.
3. Attitude - field training officers should have a good attitude toward top management, command and supervisory officers, the policies of the organization, and the department as a whole. The attitude which they manifest to the recruit should consistently be one of the professional police officer dedicated to public service. The recruit will look to the older officer for interpretation of policy and for his attitude toward the public. He will seek help on the intangibles of police service which can never be completely transmitted in a classroom setting. The example which is shown to the recruit must be the best.
4. Age - neither age nor seniority should be given any great weight in the selection of field training officers, since ability and attitude are not necessarily related to age.

Following their selection, field training officers should be indoctrinated in their responsibilities and duties, and regardless of previous training, they should be given a one-day review of the purpose and goals of the field training program. They should be given a complete set of the lesson plans used in the academy and receive instructions on the use of a Field Training Guide.

The Field Training Guide is an extensive listing of tasks and procedures. The field training officers should be required to explain each task listed, and whenever practicable, they should demonstrate the correct procedure to the recruit. Ideally, the recruit should be given an opportunity to perform the function under the immediate supervision of the field training officer. The guide is constructed so that the dates can be placed in the appropriate column indicating the progress of the recruit. This guide is not considered an exhaustive list and the field training officer should explain how to handle any other situation which may arise. A Field Training Guide is contained in the appendix.

After the field phase of recruit training is completed, the Field Training Guide should be forwarded to the Personnel and Training Section, where it should be reviewed and held in a pending file. When the probationer has received a permanent assignment, the Field Training Guide should be forwarded immediately to the unit commander who should assign the probationer to a field training officer in the unit. The incomplete Field Training Guide should be given to this officer, who should insure that the newly assigned probationer receives instructions on the incomplete items. It is during this

period that the patrol commander can arrange for more instruction in weak subjects as identified by the academy. After the Field Training Guide has been completed, it should be signed by the probationer and forwarded to the Personnel and Training Section for review and filing in the officer's personnel folder.

Evaluation of probationers by field training officers should be a vital part of the field training program. Field training officers should be thoroughly familiar with the evaluation forms and understand the desired goals and objectives. Each week, the field training officer should evaluate the performance of the probationer assigned to him, relating performance to classroom training and instruction in the field. Any deficiency should be discussed with the recruit so that he will be aware of those areas in which he needs improvement. The unit commander, together with the field training officer, should review the progress report. At the end of the field training phase, the field training officer should complete the evaluation report and submit it to the unit commander for review and approval. These reports should be forwarded to the Personnel and Training Section as soon as possible. Sample rating reports are contained in the appendix.

In-Service Training

Any training that goes beyond the recruit stage can be labeled "in-service training." This term covers a broad spectrum, including classroom and field training, short or technical courses, or a review of the fundamentals. This type of training should be offered to all members of the department. In-service training should be continuous and should satisfy the training needs generated by the changing law enforcement environment. Although some training programs are conducted best by outside sources, most in-service training should be conducted by the Personnel and Training Section.

In-Service Refresher Training. This type of training should be a continuing process for personnel at all levels and should provide a means for informing members of updated police methods and administrative procedures, traffic laws, criminal laws, the effects of current court decisions, and firearms proficiency testing.

The department has recognized this need and has conducted a limited amount of in-service refresher training. In 1977 the department conducted:

- 6 hours of training in Montana traffic codes for which 153 Montana Highway Patrol officers received certification.
- A number of officers received certification in Emergency Medical Training throughout the state.
- A course on Emergency Vehicle Operation was begun in early spring of 1977. All Highway Patrol officers will have completed the course in 1978.

- Firearms proficiency.

All subjects selected for in-service training are current problems and are necessary refresher items; however, we question the limitations of the in-service refresher training provided. For any training course of a diversified nature to be meaningful, a minimum of five days should be scheduled. During this period, sufficient administrative time should be allowed for officers to attend to affairs such as ordering new uniforms, equipment adjustments, photographs for identification cards (which should be updated annually), personnel matters, etc.

Specialized Training. In the past, specialized training has been offered on a limited basis. Lack of such programming can be rationalized by the lack of adequate training facilities throughout the state, the demands on manpower, and the inadequate number of personnel assigned to the training function. Although manpower is critical, we believe that certain courses of a specialized nature can be developed and implemented as a part of the routine curriculum offered.

Some of the specialized courses that should be offered include:

- Specialized traffic enforcement procedures
- Advanced accident investigation
- Report writing
- Case file preparation
- Evidence collection, preservation, transmittal for laboratory examination, and presentation
- Instructor training
- Police-community relations
- Administrative duties

The department might also consider providing a promotional examination course designed to assist officers who are preparing for examinations. The material should not be given in "question and answer" form or organized so that the material is merely a cramming device for the examination. It should be organized and presented so as to be valuable beyond its usefulness as an examination aid.

Supervisory Training. The Montana Highway Patrol has not offered formal supervisory or executive development programs. It has, however, sent personnel to outside supervisory training schools each year. We propose that the department also establish supervisory and administrative courses which can be offered to both recently appointed and existing supervisory and command personnel.

Other sources of middle management and supervisory training should also be considered. The services of the IACP are available to assist in developing and presenting supervisory training. The IACP course devotes a minimum of 70 hours to the necessary subjects and is designed for sergeants, lieutenants, and other supervisory personnel. In addition, the Public Administration Service offers an excellent correspondence course in municipal police administration.

Executive Development. The responsibility to develop future executives rests with each agency. Some in-service programs can be structured within the respective agencies to include personnel seminars and discussions conducted by governmental administrators to help police supervisors and commanders realize that management problems are inherent in all aspects of the total organization.

Executive development programs are the long-range plans by which an organization attempts to prepare qualified and selected personnel to administer the affairs of the agency. The size of the agency should not preclude the establishment of long-range plans to develop future leaders. Some of the concepts involved in an executive development program include the following:

- Developing an understudy: It should be routine at all levels to leave subordinates in charge whenever possible. This responsibility should be rotated among subordinates to forestall charges of favoritism. Evaluations should be made each time this occurs.
- Assigning reading: The wise manager sees to it that a related reading program functions in his organization as a supplement to the training and experience of subordinates.
- Rotating assignments: A broad exposure to all facets of an organization has a definite benefit. Personnel who measure up to standards should be rotated occasionally in their assignments so that this activity becomes a facet of the executive development program.

Training Bulletins. Many departments utilize roll-call training as a means to provide continuous training. While this type of training is generally not possible due to the decentralized nature of the Highway Patrol, it is possible to achieve on a limited basis. For example, at least once each two weeks respective squad sergeants could arrange to meet with several of their officers at some predetermined location and in effect provide them with up-date information and roll-call training. To further this

proposal, a training program should be developed which will provide a continuing exposure to new methods and techniques for all personnel.

One such program which can be utilized is the issuance of training bulletins to all personnel. The Personnel and Training Section should prepare material of current interest and disseminate it throughout the department on a bi-monthly or monthly basis. This bulletin should not replace an employee newsletter, but should be a supplement to it. Any relevant item, new statute, court decision or innovative procedure should be included. Items should be solicited from field commanders who have the day-to-day contact with police problems. Items should also be included on how to improve operations or on better ways of doing the day-to-day routine tasks. Many of these items can come from experience of persons who have had to do things the hard way. The IACP Training Key program has found valuable use in providing continued training of a general nature in law enforcement agencies throughout the nation.

Outside Training

The Montana Highway Patrol takes advantage of and utilizes outside training programs offered by the Traffic Institute, the Southern Police Institute, the FBI National Academy, and other law enforcement institutions. This progressive attitude is to be commended, and although we realize that such training programs are costly in terms of tuition, living expenses, and loss of manpower, the effect that such programs have on individual performance is well worth the expenditures. The department should develop programs which outside institutions have provided in the past but should retain some from the outside sources.

Once personnel receive this outside training, their increased capabilities should be utilized in departmental training capacities. They can be used as instructors for developing training programs or for providing material for training bulletins. This will serve two purposes. First, the department will fully realize a return on its investment by enabling fresh ideas to be explored. Second, the officer will have the opportunity to participate in some creative activity while he is also still enthusiastic. The Personnel and Training Section should review all material gathered from these outside resources such as notebooks, research projects, and observations of the program, for evaluation purposes. Further, the present practice of assigning specific research projects related to departmental needs while attending these training sessions should be continued.

Career Development

The following plan represents an attempt to outline an ambitious program for the personal development of personnel. It sets forth elements of a career development program which can be readily, although not immediately, implemented. The program should follow the careers of its participants, although its benefits may not be realized for some time.

- Phase I Basic Phase - first five years in the department
Rank - highway patrol officer
- Training in the classroom and field training in basic law enforcement (recruit training)
 - Accumulation of high school and lower division college credits on the outside as they are available
 - In-service refresher and assignment to specialized training courses
 - Assignments initially to patrol with short periods of training assignments to other functions in keeping with demonstrated abilities, with emphasis on on-the-job development
- Phase II Broadening Phase - fifth to seventh year
Rank - highway patrol sergeant
- On-the-job training in two or more of the major functional areas, i. e., patrol, investigation—supervisory assignments for sergeants
 - Advanced in-service training in classroom and specialized training
 - Supervisory and presupervisory training
 - Continuation of outside education
- Phase III Development Phase - seventh to tenth year
Rank - highway patrol sergeant; lieutenant, captain
- Supervisory or command assignments
 - Outside training at the FBI National Academy, Northwestern University Traffic Institute, and Southern Police Institute

- Continuation of college program toward achievement of bachelor's degree
- In-service supervisory or command training, whichever is appropriate for the rank held

Phase IV Advanced Supervision and Command - tenth year and up
Rank - highway patrol lieutenant, captain, exempt level

- Training to include assignment for graduate work at college level
- Semiannual refresher command conferences or seminars

Phase V Cross-Supervision

- Rotation among major functions as commander

This, of course, represents a long-range program and a substantial investment in the individual. The individual, on the other hand, should be required to make a large investment of his own time and energy in the development process. It should be noted that a combination of broad academic training and a variety of experiences (i. e., rotation among assignments) is at work in this program. The end product should be a diversified individual with a broad perspective. Persons with such background should make outstanding material for the very highest positions in the department.

It should also be noted that persons will drop out as each succeeding phase is reached. Therefore, the more expensive phases, which include outside training and detailed service, will be utilized by relatively few members. However, the extensive experience of those who stay in middle management positions can serve only the best interests of the department.

This is admittedly an ambitious program and might seem to be beyond the reach of current resources and personnel, but it is not intended to be implemented immediately or all at once. Indeed, its development will probably follow the development of its participants and its benefits may not be realized for some time in the future, but the time to begin is now.

Coordination and Planning in Training

An effective training administrator should be a good coordinator. Without coordination, a training function tends to develop divergent objectives and policies. It is the responsibility of the Personnel and Training Section commander to direct the unit toward predetermined objectives. Coordination requires planning and constant application of effort and can be best achieved through frequent meetings with supervisory and command personnel to discuss problems. Through these formal meetings and through frequent informal contacts, each should get to know and understand the other's problems.

The Personnel and Training Section commander should consult with line commanders and other personnel regarding police problems which can be solved through training. Each should establish rapport with the various section commanders and shift commanders by going into the field, discussing mutual problems, and soliciting officers' evaluations of the recruit training program, in-service training program, roll-call training program, etc.

Another means of coordinating the training functions with the remainder of the department is through the establishment of a training committee, the purpose of which should be to determine appropriate courses of study in the various phases of police training. The committee should be responsible for the following functions:

- Determining training needs
- Determining objectives of training programs based upon the identified needs
- Selecting departmental instructional personnel
- Operating the training program
- Selecting adequate facilities
- Evaluating all training programs

The membership of the permanent training committee should consist of members of the force in personnel management, operations, and administration services. The higher the rank of the members, the more support the training activity will receive. The permanent committee chairman should be the commander of the Personnel and Training Section. Other permanent members of the committee could include a designated representative of the chief. This committee should be augmented, as necessary, by line personnel for the development of specific training programs.

Class Scheduling. The Personnel and Training Section commander should take immediate steps to schedule classes one year in advance. A long-range, five-year training program should also be developed. In class scheduling matters, close coordination should be maintained with other units throughout the department. Specific class schedules can be developed at least one year in advance, identifying specific dates of instructions, teaching assignments, class size and other data. The five-year plan cannot be specific, yet certain items can be identified, such as types of training programs, size of enrollment, and general subject matters. Close coordination would have to be made with the Montana Law Enforcement Academy to minimize conflicting programs.

Recommendations

1. Adopt the proposed organization and staffing of the Personnel and Training Section. As soon as practical, augment the staff with additional full-time personnel.
2. Select the training staff using the standards outlined in the text.
3. Retain a training staff based upon satisfactory job performance.
4. Establish a formal system of instructor evaluation.
5. Formulate training objectives as discussed in the text.
6. Adopt a training policy of continually striving to improve the quality of recruit training.
7. Constantly evaluate the training curriculum for the need of change and upgrading.
8. Consider revisions to the program with respect to curriculum deficiencies noted.
9. Consider expanding the length of the training program as training needs are intensified.
10. Implement an improved recruit field training program as described in the text and appendix.
11. Select qualified patrol officers as field training officers as recommended in the text.

12. Utilize the Field Training Guide to administer recruit field training programs.
13. Expand and upgrade the present in-service refresher training.
14. Establish specialized courses in the areas of specialized traffic enforcement procedures; advanced accident investigation; report writing; case file preparation; evidence collection procedures, preservation, transmittal for laboratory examination, and presentation; etc., as needed.
15. Consider conducting promotional examination courses to assist officers preparing for examinations.
16. Coordinate advanced and specialized training with the career development program.
17. Develop and implement supervisory and executive training programs.
18. Consider the utilization of training bulletins or Training Keys and utilize them in conjunction with a planned roll-call training program as proposed in the text.
19. Distribute training bulletins or Training Keys to all departmental personnel. Include relevant items of interest to all personnel, new statutes, court decisions, or innovative procedures which should be known.
20. Take a leadership position in providing law enforcement training in the state of Montana.
21. Continue to send key personnel to specialized outside training courses.
22. Adopt a phased career development program for both sworn officers and civilian employees.
23. Require the Personnel and Training Section commander to develop effective coordination among the various units of the department and to establish rapport with line commanders to obtain candid opinions about the existing training programs.
24. Establish a training committee as discussed.

25. Schedule classes one year in advance to insure an optimum number of classes spread over the primary nine-month training period.
26. Develop a five-year master training plan.

VI

RECORDS MANAGEMENT

The reporting, records-keeping, and communications functions of a police agency comprise the components of an information system, which the police agency depends upon for effective and efficient operation. The quality of this system is dependent upon the efficiency of each component, as well as the manner in which the components relate to one another. A communications operation cannot be productive, if the reporting procedures are ineffective and the records-keeping function does not provide quality information. If the information system does not operate at an optimum level, then a clear and accurate understanding of the police agency's problems cannot be grasped. The flow of data through the information system should be rapid and precise. The process of receiving information, its communication to the various elements of the agency, and the detailed recording of data have a direct bearing upon accurate traffic and crime analysis and the tactical deployment of operational units.

A contemporary police information system should utilize automated devices to meet the demands imposed upon the agency. However, the utilization of electronic devices will not produce an effective information system unless the data offered to this system through the reporting and recording processes is of a high quality.

The effort required of a police agency to insure the efficient operation of the various components of a police information system varies among agencies. Although there are minimum standards necessary for the successful operation of any police information system, agencies must often exceed these minimum requirements and increase their efforts purely because of constraints imposed by conditions of geography and population. A physically centralized system normally provides built-in features of control. However, in many state law enforcement agencies, operational forces are physically decentralized. The Montana Highway Patrol Bureau can be considered a highly decentralized law enforcement agency, and for this reason, the information management and system requirements should exceed the minimum requirements and a considerable measure of effort should be expended to maintain an efficient level of information control.

From our observations and analysis of the present records management system of the Montana Highway Patrol Bureau, we have concluded that serious deficiencies exist in the information control and records processing procedures of the department. Part of the difficulty lies in the intermixing of state driver licensing records with the law enforcement highway patrol records storage and processing system.

The recommendations contained in this chapter are presented to assist the Montana Highway Patrol Bureau in the development of an information system that will be well-

structured, accurate, and comprehensive.

It should be kept in mind henceforth that all of the recommendations relative to reporting, records-keeping and communications are closely interrelated and should be viewed as interlocking parts of the complete system. In this chapter, we will be concerned with the management and procedural aspects of information processing only.

Section 1 - Organization and Staffing

Analysis of Present Organization

As noted in the Organization and Span of Control chapter of this report, driver services is the predominant activity of the records operations of the department and it is difficult to physically separate this function from the law enforcement type records of the Highway Patrol. As a result, the major mission of records storage and processing appears to be directed toward support of driver services activities. In fact, the major who supervises the department records operations is actually Chief Examiner, Administrator of Driver Licensing and Control, Montana Highway Patrol Bureau.

Present records operations of the department are conducted by a Driver License Section staffed with 27 personnel; a Driver Improvement Section staffed with 5 personnel; a Summons Section staffed with 4 personnel; a Data Processing Entry Section staffed with 10 personnel; and an Accident Records Section staffed with 4 personnel. The Driver Examinations Section is staffed with 40 personnel functions as a field operational entity of driver services. Under this system, it is difficult to objectively ascertain how the normal types of law enforcement reports such as criminal offense reports, stolen vehicle reports, impounded vehicle reports, arrest reports, found property reports, and other such reports fit into the system. While it may be said that the department is restricted to a highway patrol function, we also realize that the department does, in fact, receive complaints and does handle on-view criminal incidents which come to their attention during the normal course of their traffic duties. Under the present system of record-keeping, many of these incidents are not accounted for and therefore cannot be used in analyzing operational activity and workload of the department.

The present organizational relationship between records and communications is also such that there is a lack of effective coordination and unity between these functions. Communications are operated independently in each of the six field divisions without benefit of centralized staff control and centralized coordination between records and communications functions.

Centralization of the information systems components (reporting, records-keeping and communications), are very important—particularly in a decentralized organization such as the Montana Highway Patrol Bureau. The information system should be designed not only to process information rapidly and efficiently, but also to exercise a considerable amount of control over the information-related activities within the various field districts and posts.

Proposed Organization and Personnel Distribution

In the Organization and Span of Control chapter of this report, we have recommended the organization of a Technical Services Bureau headed by a captain and sub-divided into an Accident Records Section, headed by a supervisor; a Traffic Citations Section, headed by a supervisor; a Data Processing Section, headed by a supervisor; a Printing and Photo Processing Section, headed by a supervisor; and a Communications Services Section, headed by a supervisor. Recommended staffing of the bureau and its sub-sections is contained in Table 3.11 of the Manpower Allocation and Distribution chapter of this report.

The commander of the Technical Services Bureau should be responsible for managing the information system of the department and insuring that all district commands properly report and process information. Discrepancies which he discovers by audit and review in the information processing procedures should be reported to the Inspections and Internal Affairs Section for follow-up action.

Initially, to facilitate a smooth transition into the new organizational concept, we have recommended retention of the separate Accident Records and Traffic Citations Sections. After the transition and implementation of a new records and reporting system, we recommend that Accidents Records and Traffic Citations Sections be combined into a new Central Records Section headed by a lieutenant and subdivided into a Records Processing Unit and a Report Review and Information Control Unit. When implemented, the Records Processing Unit should be supervised by a civilian and be responsible for operation of the central information processing system and maintenance of a master alphabetic index file. It should also provide 24-hour assistance to district commands regarding information on wanted persons, past arrests, report copies, etc. Information functions of this unit should be coordinated with the headquarters Communications Services Section. When implemented, the Report Review and Information Control Unit should be supervised by a sergeant, who should be assisted by a clerk-typist. This unit should be responsible for the initial receipt of reports from district commands and provide for their administrative review and distribution. The Report Review and Information Control Unit should verify and match each complaint control card with corresponding reports to insure that all reports are accounted for.

The unit should then check reports for completeness and assign a proper classification to each. This process is known as staff review and is explained in more detail further in this report. Since this unit should be responsible for report copy reproduction, it is logical that it should also be responsible for report distribution. This entails procedure development to insure the generation of sufficient reports to meet the needs of those who use the reports. Transmittal should follow normal departmental distribution channels; however, the frequency of delivery may need to be studied and revised in order to cope with increased volume and the desire to maintain a constant average flow.

Interim Accident Records Section. The interim Accident Records Section should continue to administer the present accident records functions of the department and in addition, should plan and initiate changes in preparation to conversion of the Accident Records Section and the Traffic Citations Section into a new Central Records Section.

Interim Traffic Citations Section. The interim Traffic Citations Section should continue to administer the present traffic summons functions of the department and in addition, should work closely with the Accident Records Section in planning for and initiating changes in preparation for the conversion of the Traffic Citations Section and the Accident Records Section into a new Central Records Section.

Data Processing Section. The proposed organization and operations of the Data Processing Section will be addressed specifically in the next chapter of this report.

Printing and Photo Processing Section. In the Organization and Span of Control chapter of this report, we have recommended that the Printing and Photo Processing Section, headed by a Graphic Reproduction Supervisor, should continue to provide general printing and photographic laboratory support to the department. We have also emphasized that this section, by all means, should be retained under the direct control of the Highway Patrol. Recommended staffing for the Section is contained in Table 3.11 of the Manpower Allocation and Distribution chapter of this report; however, future adjustments should be considered in accordance with workload demands. This Section appears to be operating in a highly proficient manner and is performing vital support to the daily operations of the department.

It is suggested that this Section coordinate closely with the new Research and Development Section to insure that each department form undergoes forms analysis, to insure that they conform to department policy, and to determine whether a combination of forms would be feasible and economical. All orders for forms from any unit in the department should be approved by the Research and Development Section so that it may ascertain the number ordered and restrict the number to no more than what can be used in one year. The Research and Development Section should maintain a suspense file on requests for changes to departmental forms in order to study the suggestions before a new design is ordered. When new or revised forms leave the Research and Development Section, all aspects of their design and content should have been completed and they should be ready for reproduction or printing by the Printing and Photo Processing Section.

The Printing and Photo Processing Section should also insure that all departmental forms have been assigned specific control numbers by the Research and Development Section before they are printed.

The Standard Register Company, in a sales education release, file 201A, April, 1978, issued the following forms design and construction principles. We believe they may be helpful to both the Research and Development Section and the Printing and Photo Processing Section in performing continual forms analysis.

One of the first axioms of completing any job in a professional manner is to first "break down the job into its component parts." This helps define each area of concern and offers the person(s) involved digestible portions in a proper sequence.

The task of designing business forms covers a broad area of concern and is best discussed by breaking down the job into four major areas.

- I. Select the proper type of form and writing method to fit the system requirements.

Because of the many types of forms products on the market, each providing certain benefits, it is important the designer be aware of each product and when it is best used.
- II. Determine the best form size (width and length) and character-spacing requirements based on the writing method employed.
- III. Outline the basic layout requirements governed by the type of form, writing method, construction specifications and manufacturing specifications.
- IV. Begin to draw in (locate) the variable composition according to the writing method employed, as well as the following general design principles:
 - A. Whenever possible, arrange data in sequence with the source and subsequent documents.
 - B. Locate as many entries as possible on one horizontal writing line.
 - C. When possible, use caption blocks. Design data fields (caption blocks and other entries) to contain only the maximum number of required characters.
 - D. Highlight important areas on the form.
 - E. When part-to-part composition changes are involved, try to keep the area of change to a minimum.
 - F. Locate items for ease of future reference.
 - G. Segregate information areas by first and second writings and specific reference sections.
 - H. Preprint as much information as possible.
 - I. Facilitate the distribution and use of each part.
 - J. Balance the form—keep it organized and easy to read.

Communications Services Section. The proposed organization and operation of the Communications Services Section will be addressed specifically in a later chapter of this report.

Recommendations

1. Centralize records management and consolidate reporting, records-keeping and communications functions under the proposed Technical Services Bureau as illustrated in Chart 2.2.
2. Organize records management sub-sections of the Technical Services Bureau as illustrated in Chart 2.2 and assign the sections the functions discussed in the text.
3. Staff the records management sections of the Technical Services Bureau as recommended in Table 3.11.
4. Plan to reorganize the Accident Records Section and the Traffic Citations Section into a new Central Records Section after transition into the new departmental organizational structure is completed and the new reporting system which we have recommended has been implemented. Subdivide the new Central Records Section into a Records Processing Unit and a Report Review and Information Control Unit and assign functions as proposed in the text.

Section 2 - Complaint Processing and Field Reporting

Citizens should receive prompt and efficient response to requests for police assistance. Further, they should receive a high level of service once a police officer has responded to the request. As a police activity, complaint processing and field reporting has a great effect upon how the public views a police agency. A citizen's first contact with the Montana State Highway Patrol normally occurs when he requests aid or assistance by telephoning a field division station and when the uniformed officer arrives at the scene.

The complaint processing and field reporting activities of a police agency are the first phase in the total information handling process. Not only should the complaint processing and field reporting phase be rapid and expeditious, it should also be designed so that the information received is of high quality. In this regard, the complaint processing and field reporting phase should have built-in administrative controls.

Present Complaint Processing and Field Reporting System

Each of the present 6 field divisions provide radio dispatching services and the number of radio dispatchers vary among divisions, depending upon workload. In all divisions there is a varying amount of dependency upon local sheriff's departments for dispatching services.

Initial telephone complaints are received by dispatchers in field division stations, who record, upon patrol radio station dispatching logs, a transmission number, car called, time called, time completed, from car, from station, remarks, and operator. When dispatching is provided by the various sheriff's departments, the complaint process varies but in no event are logs of calls furnished to the Highway Patrol.

Field Reporting. The Montana Highway Patrol Bureau utilizes a Standard Investigators Accident Report, State of Montana, to record all data relative to a traffic accident, and a Criminal Offense Report form is used to record information regarding complaints of a criminal nature. The majority of all Highway Patrol efforts, however, are concentrated upon traffic-associated cases and accident investigations. Criminal cases coming to the attention of the Highway Patrol Bureau are routinely referred to the local sheriff's department.

For the most part, reports reviewed at headquarters and in the field divisions appeared to be only fair and in some cases poor in their preparation.

We propose that there is not only need to improve the reporting system, but that the Accident Report form, the Criminal Offense Report form, and other related field reporting forms are in need of improvement in their design and format.

Analysis of Complaint Processing and Field Reporting System

In this part of the report, we are concerned with the administrative concepts of information handling. The present complaint processing and field reporting system has several deficiencies that can be overcome through the adoption of more clearly defined procedures, controls, and forms. Further, a major deficiency exists in the transmission of field reports to the headquarters facility for processing. This problem is addressed in a subsequent section of this chapter.

Discretionary Field Reporting. Although patrol officers are provided with considerable guidance on reporting requirements in the Operations Manual on forms to use in making some specific types of reports, the timeliness, etc., the department has not specifically spelled out a policy on nor have they required absolute reporting. In addition, although it is generally accepted by officers and supervisors of the various field divisions that a Highway Patrol officer should prepare a report on any incident which they have handled or referred to a local or other law enforcement agency, there is no systematic and precise procedure to insure that reports are prepared on these incidents.

Officers should be required to submit a report on all traffic and criminal incidents to which they are dispatched or on-view incidents in which they take action. Adopting this policy will require a greater level of records processing than previously experienced, purely because of increased volume. However, this will be offset by the substantial increase in control over the field reporting process and greater support of investigative activities. This policy is not an unreasonable requirement for patrol officers.

Format of Field Reporting Forms. Field report forms should be designed to record a high level of specific information regarding each incident recorded. This necessity is perhaps more critical in the Montana Highway Patrol than in more centralized police agencies, since the field divisions are geographically distant from the headquarters command. This condition hampers or inhibits the report-review process at headquarters with regard to unreported facts or observations about an incident. Consequently, the report forms should be as comprehensive as possible to avoid the possibility of not reporting all of the facts and circumstances of an accident, incident, or crime. Also, the forms should be specific enough to insure that the field reporting process does not become confused through the use of an unnecessary number of forms. The form design should also be flexible enough to accommodate growth without necessitating frequent changes in format.

Control Over Field Reporting. Another—and perhaps more critical—problem in the field reporting system is the relatively low level of control over the reporting process. Since no formal record other than the patrol radio station dispatching log is maintained, a precise check and balance is not in effect to insure that field officers submit reports on incidents to which they are dispatched.

The system recommended by the IACP to record complaints to which officers are dispatched provides the necessary controls to insure a high level of field reporting. Although officers of the department are conscientious, for the most part, with regard to reporting incidents to which they are dispatched or which they discover during the course of patrol, we are concerned with a system of control that does not allow for discrepancies to occur and, if they do occur, requires that they be rectified after-the-fact.

Information Transmittal. Another serious problem existing in the reporting system is the unnecessary delay between the time an incident occurs in the field and the time the officer's report arrives at headquarters for processing. A certain measure of delay can be expected in a highly decentralized agency; however, at present, the level of delay observed should be improved. Current and timely receipt of reports is a must to the efficient operation of a departmental information system. The department has realized the critical necessity for receiving fatality accident reports and these are telephoned in to headquarters immediately. Regular traffic accident reports are required to be submitted to division in 48 hours; however, we found that this requirement is not achieved in many cases. The receipt of reports at headquarters was said to usually average 10 days after occurrence.

In summary, we propose that the complaint processing and field reporting activities of the Montana Highway Patrol be formalized and that the level of reporting be upgraded. Further, field reporting procedures, in terms of report form format, should be more sophisticated to meet the needs of an agency the size of the Montana Highway Patrol Bureau. The complaint processing and field reporting system recommended by the IACP is designed to assist the department and develop a comprehensive information system. However, the system alone cannot insure an efficient, accurate handling of records. The department should also be dedicated to establishing and administering sound records management policies and insuring that the policies are adhered to by all members of the department.

The administrative control to insure the proper functioning of the information system should be applied primarily from within district commands. Further, as discussed elsewhere in this report, a greater measure of headquarters control is required.

Proposed Complaint Processing System

The proposed complaint processing system should require the use of only two forms. These forms are illustrated herein and labeled Complaint Control Card and Administrative Control Card.

Numerical Control. A single, centralized dispatching system is the most desirable approach for a police agency in terms of information control. However, because of the decentralized nature of the Montana Highway Patrol Bureau, it is necessary that this control be vested in the district dispatching function. Secondly, there are operational activities of the department that rely upon dispatching from sheriffs' and local police departments. Therefore, two systems for maintaining numerical control of field reports should be employed. There should be a control feature to the issuance of a single, nonduplicated number for every incident, whether traffic-oriented or criminal. The issuance of a complaint number for all called-for services or on-view activities should be strictly administered and no exceptions should be permitted.

The numerical system should employ a six or seven-digit number prefixed by the year of issue. The Central Records Section at headquarters should issue each district, on an annual basis, a block group of complaint numbers. Using 1979 as an example, District 1 should be issued the block from 79-100001 through 79-199999; District 2, 79-200001 through 79-299999; District 3, 79-300001 through 79-399999; District 4, 79-400001 through 79-499999; and District 5, 79-500001 through 79-599999. The cycle should be repeated annually. Specialized units, such as those working out of headquarters, who are detailed to handle an incident or who come upon an on-view accident should call the respective district headquarters and request a specific complaint number for their report.

This numerical control system allows for incidents to be identified by district, while at the same time allowing central records to maintain a consolidated incident file rather than separate files for each district. Secondly, the system allows for rapid purging of records.

Complaint Control Card. There are three situations in which the Complaint Control Card should be prepared, and these three situations require three methods of preparation. The situations are as follows:

1. When a Highway Patrol officer is dispatched by a radio operator in a district command.
2. When an officer, in radio communication with a district command radio operator, initiates his own action because of an on-view situation.
3. When a Highway Patrol officer is either dispatched or observes an on-view situation and he is in communication with a police organization other than the Highway Patrol, such as during off hours or when he is in an area where he cannot receive his own dispatcher or dispatches are being made by the sheriff or a local police agency.

In the first situation, the dispatcher should complete a Complaint Control Card at the time the complaint is received and issue a complaint number. Thereafter, he should dispatch a patrol officer and record the necessary data. In the second situation, the patrol officer who initiates action as a result of an on-view incident should contact the district command radio operator, and the operator should immediately prepare a Complaint Control Card and issue a complaint number as in the first situation. However, in the third situation, where there is no state Highway Patrol dispatcher involved, the patrol officer should be equipped with Complaint Control Cards, and these cards should be completed on each incident to which he is dispatched by a police organization other than the Highway Patrol or in cases initiated as a result of an on-view situation. Under these conditions, the Complaint Control Card should be forwarded with a field report to the district command to which the officer is assigned and a complaint number issued by the dispatcher. Complaint Control Card and field reports prepared as a result of the third situation should be forwarded to the district command for review.

Each officer or employee of an office who receives original information about a complaint or police incident should be required to notify the district command dispatcher or prepare Complaint Control Card as discussed so that a complaint number will ultimately be assigned. This should be done as soon as practical. There is one exception possible. The issuance of a summons or citation for a nonaccident traffic violation which does not result as a direct response to a complaint received at the complaint desk should be exempt from the complaint numbering procedure.

Radio Administrative Control Card. The use of the Administrative Control Card, illustrated herein, should permit better organization of administrative information. The card should be completed whenever a Highway Patrol officer engages in an activity of an administrative nature. Activities of this nature will include, but are not limited to, the following examples:

COMPLAINT CONTROL CARD and MISCELLANEOUS INCIDENT REPORT

COMPLAINT CONTROL CARD AND MISCELLANEOUS INCIDENT REPORT	COMPLAINANT	COMPLAINT CONTROL NUMBER		NATURE OF COMPLAINT/SERVICE						DATE/TIME			
	COMPLAINANT	COMPLAINT LOCATION (STREET NUMBER AND NAME) (APT. NO./FLOOR)						CORNER <input type="checkbox"/> NW <input type="checkbox"/> NE <input type="checkbox"/> SW <input type="checkbox"/> SE		COMPL. RCV'D.		DISP. ACKN.	
	COMPLAINANT	COMPLAINANT'S NAME <input type="checkbox"/> REFUSED (LAST) (FIRST) (MID. INIT.)				TEL. NO.		COMPL. <input type="checkbox"/> TEL. <input type="checkbox"/> WALK IN REC'D. <input type="checkbox"/> FIELD <input type="checkbox"/> MAIL/TTY		UNIT ARR'D.		RET'D. SERV.	
	DATA	COMPLAINANT'S ADDRESS <input type="checkbox"/> SAME AS ABOVE (STREET NUMBER AND NAME)				<input type="checkbox"/> VOID <input type="checkbox"/> IN PROGRESS <input type="checkbox"/> DUP.REP. <input type="checkbox"/> NO UNIT OISP. <input type="checkbox"/> FOLLOW UP <input type="checkbox"/>		UNIT ASSIGNED		UNIT/S ASSIST.			
		NOTIFIED		<input type="checkbox"/> FIRE <input type="checkbox"/> RESCUE <input type="checkbox"/> INVESTIGATION <input type="checkbox"/> OTHER (SPECIFY)		REVISED CODE							
REVIEW													
INITIAL		COMPLAINT NUMBER	X	MO.	DAY	TIME	COMPLAINT CLASS	BEAT/STREET NUMBER	REPORTING/STREET AREA NAME				

FRONT

VEHICLE				PERSONS							DATE/TIME			
COLOR	YEAR	MAKE	NO. 1	SEX	RACE	AGE	HGT	WGT	HAIR	EYES	DESCRIPT. BROADCAST			
STYLE	BODY			COMP.	GLASSES	CLOTHING								
LIC. NO.	LIC. YR.	NO. 2	SEX	RACE	AGE	HGT	WGT	HAIR	EYES					
STATE	LIC. TYPE		COMP.	GLASSES	CLOTHING									
OTHER IDENTIFYING INFORMATION						DIRECTION OF FLIGHT ON						NOTIFICATIONS MADE		
ADDITIONAL INFORMATION, DETAILED DISPOSITION, OTHER REMARKS														
REPORT SUBMITTED														
<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> MIR OFFENSE VEHICLE ARREST ACCIDENT														
INCIDENT, DISPOSITION & HAZARD CODES														

BACK

ADMINISTRATIVE CONTROL CARD

ADMINISTRATIVE CONTROL CARD

UNIT NO.	LOCATION	TIME
TELEPHONE NO.	PERSON NOTIFIED OR TO BE CONTACTED	OUT OF SERVICE OR NOTIFIED
EXTERNAL		<input type="checkbox"/> SUBJECT TO CALL IN SERVICE
CONDITION: <input type="checkbox"/> STREET DEFECT <input type="checkbox"/> BREAK <input type="checkbox"/> REPAIRS <input type="checkbox"/> SERVICE <input type="checkbox"/> STREET LIGHT OUT <input type="checkbox"/> TRAFFIC LIGHT OUT <input type="checkbox"/> FOLLOW-UP <input type="checkbox"/> RADIO SERVICE <input type="checkbox"/> OTHER: _____ _____ _____		
NOTIFIED: <input type="checkbox"/> PERSON ABOVE <input type="checkbox"/> COURT <input type="checkbox"/> MEET UNIT _____ <input type="checkbox"/> STREET DEPT. <input type="checkbox"/> TRAFFIC DEPT. <input type="checkbox"/> OTHER _____ _____ _____		
OTHER: _____ _____ _____		
INTERNAL		REVERSE USED <input type="checkbox"/>
REMARKS		DISPATCHER

FRONT

FILE CHECKS	SEARCHED BY:	NO.
VEHICLE		PERSON
<input type="checkbox"/> WANTED ONLY <input type="checkbox"/> REGISTRATION AND WANTED		<input type="checkbox"/> WANTED ONLY <input type="checkbox"/> OPER'S LICENSE
LIC. NO.	STATE YEAR TYPE	NAME, (LAST, FIRST, MIDDLE)
COLOR	YEAR MAKE STYLE	ADDRESS
BODY	IDENT. NO.	DOB OPER'S LIC. NO.
LISTED TO:		SEX RACE HGT WT. HAIR EYES
ADDRESS:		OTHER:
VEHICLE IF DIFFERENT FROM ABOVE:		
<input type="checkbox"/> NOT WANTED <input type="checkbox"/> NOT IN FILE <input type="checkbox"/> NO RECORD		<input type="checkbox"/> STOLEN OR WANTED FOR _____ COMPLAINT NO. OR AUTHORITY _____

BACK

- All traffic stops not resulting in a Complaint Control Card being prepared
- Court attendance
- Warrant service
- Checking hazards
- Meals
- Delivering messages
- Checking suspicious persons

The back of the Administrative Control Card should be utilized by radio dispatchers to reflect inquiries by field personnel or departmental offices on matters such as the following:

- Vehicle registration
- Stolen vehicles
- Wanted persons
- Stolen property
- Driver's license status

Processing Complaint Control Cards and Administrative Control Cards. Each district command should compile Administrative Control Cards and Complaint Control Cards for a period of 30 days and then forward the forms to the headquarters facility in Helena. These cards should be the data source for the analysis of the operational activities of the department for manpower allocation and distribution.

The Administrative Control Cards should substitute the patrol radio station dispatching logs prepared by dispatchers. Further, the Administrative Control Cards should be utilized as the data source for the analysis of personnel activity with regard to administrative matters.

Proposed Field Reporting System

Whenever possible, police reporting forms should be designed to meet both the various reporting needs of the police officer in the field and the special needs of interested offices. A highly developed set of structured forms, as recommended herein, will simplify preliminary report preparation and lay the basis for improved reporting and investigation procedures.

Field Reporting Guide. The recommended Reporting Guide for police officers is illustrated in the appendix. Basic guides for obtaining information, for selecting the proper form, and for recording full information at the scene of an incident should provide the first step in streamlining many existing procedures. Reporting guides should be issued to all police officers in the department. Report forms should be carried in sufficient quantities to meet daily needs.

Recommended Report Forms. We recommend the following basic report forms for use in reporting traffic accidents, other traffic related offenses, incidents of a criminal nature, and other matters:

1. Police Accident Report Form
2. Offense Report and Multi-Purpose Report Form
3. Arrest Report
4. Supplemental Report
5. Vehicle Report
6. Property Record
7. Prosecution Report
8. Field Interview Card

The Police Accident Report Form should be used to record an officer's investigation and other action taken in connection with a traffic accident, regardless of severity.

The IACP recommends that the Montana Highway Patrol consider a change from the present Investigator's Accident Report form to a uniform police traffic accident report form similar to that now used by the State of New York (see sample form MV104A - Police Accident Report and MV-104 Report of Motor Vehicle Accident Enclosed).

This form was developed as the result of a statewide traffic records information development and evaluation project conducted in 1973. Various departments of New York state government, law enforcement agencies at different levels of government, traffic safety boards, insurance agencies, an accident research firm and National Highway Traffic Safety Administration (NHTSA) officials assisted with input.

Field testing of the new Police Accident Report Form MV-104A, as well as a new Report of Motor Vehicle Accident Form (Motorist) MV-104, since implementation on January 1, 1974, has been very favorable. According to a time and motion study they provide better, more comprehensive information, and yet are faster and easier for police and motorists to complete. According to the Department of Motor Vehicles in New York, there has been a general acceptance statewide of the new report in both

HAVE YOU READ THE INSTRUCTIONS
IN SECTION 4 ON THE BACK?

DO NOT FORGET ACCIDENT DATE.

Other Vehicle No. 1 ACCIDENT DATE MD. / DAY / YEAR	DAY OF WEEK	TIME <input type="checkbox"/> AM <input type="checkbox"/> PM	NUMBER OF VEHICLES	LEFT SCENE <input type="checkbox"/>	DID POLICE INVESTIGATE ACCIDENT AT SCENE? <input type="checkbox"/> YES <input type="checkbox"/> NO	NAME OF POLICE AGENCY	Other Vehicle No. 2
--	-------------	--	--------------------	--	---	-----------------------	---------------------

DRIVER IDENTIFICATION NUMBER EXACTLY AS PRINTED ON LICENSE			MOTORIST IDENTIFICATION NUMBER EXACTLY AS PRINTED ON LICENSE		
--	--	--	--	--	--

LAST NAME OF DRIVER 1		FIRST NAME	MIDDLE INITIAL	DRIVER	LAST NAME OF DRIVER 2		FIRST NAME	MIDDLE INITIAL
NUMBER AND STREET					NUMBER AND STREET			
CITY					CITY			
STATE					STATE			
DATE OF BIRTH				SEX	STATE OF LICENSE			
MD. / DAY / YEAR					MD. / DAY / YEAR			

LAST NAME OF OWNER 1		FIRST NAME	MIDDLE INITIAL	OWNER	LAST NAME OF OWNER 2		FIRST NAME	MIDDLE INITIAL
NUMBER AND STREET					NUMBER AND STREET			
CITY					CITY			
STATE					STATE			
DATE OF BIRTH				SEX	STATE OF LICENSE			
MD. / DAY / YEAR					MD. / DAY / YEAR			

NO. OF OCCUPANTS	PLATE NUMBER	VEHICLE TYPE	VEH. TOWED AWAY? <input type="checkbox"/> YES <input type="checkbox"/> NO	VEHICLE	NO. OF OCCUPANTS	PLATE NUMBER	VEHICLE TYPE	VEH. TOWED AWAY? <input type="checkbox"/> YES <input type="checkbox"/> NO
ESTIMATED COST OF REPAIRS \$50 OR LESS <input type="checkbox"/> \$51-\$200 <input type="checkbox"/> \$201-\$250 <input type="checkbox"/> \$251-\$300 <input type="checkbox"/> \$301-\$750 <input type="checkbox"/> OVER \$750		VEHICLE YEAR & MAKE	STATE OF REG.		CHECK ONE OF THE 9 DIAGRAMS BELOW IF IT ADEQUATELY DESCRIBES THE ACCIDENT; OR DRAW YOUR OWN DIAGRAM IN THE SPACE BELOW AND TO THE LEFT.		VEHICLE YEAR & MAKE	STATE OF REG.

DESCRIBE DAMAGE TO VEH. NO. 1

Number the vehicles. Your vehicle is No. 1

ACCIDENT DIAGRAM

Rear End

1. ← ←	← ←
2. ← ←	5. → →
3. ↘ ↘	6. ↘ ↘
4. ↘ ↘	7. → →
0. ↘ ↘	8. → →
Intersection	Sideswipe

DESCRIBE DAMAGE TO VEH. NO. 2

REFERENCE MARKER NEAREST TO SITE	COUNTY OF ACCIDENT	<input type="checkbox"/> CITY <input type="checkbox"/> TOWN OF <input type="checkbox"/> VILLAGE	ADDRESS/LANDMARKS AT SCENE
ROUTE NO. OR STREET NAME	MILES <input type="checkbox"/> FEET <input type="checkbox"/> ROUTE NO. OR STREET NAME OF		
ON	AT INTERSECTION WITH		

INJURY SECTION: FILL OUT SPACE BELOW FOR EVERY PERSON INJURED OR KILLED IN THE ACCIDENT.

NAME AND ADDRESS	8. IN VEH. NO.	12. AGE	13. SEX	DESCRIBE INJURIES	CHECK PROPER COLUMN(S) SEE INSTRUCTION 5 ON BACK				DATE OF DEATH
					16. K	A	B	C	

ACCIDENT DESCRIPTION

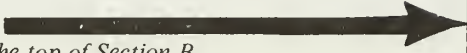
IDENTIFY DAMAGED PROPERTY OTHER THAN VEHICLE(S)	NAME AND ADDRESS OF PERMIT HOLDER	POLICY NUMBER
NAME OF INSURANCE COMPANY	IF SELF-INSURED GIVE CERTIFICATE NO.	POLICY PERIOD FROM TO
AND ADDRESS OF POLICYHOLDER	NAME AND ADDRESS OF PERMIT HOLDER	DATE OF DEATH
IF VEHICLE WAS OPERATED UNDER PERMIT OF ICC OR NYS DOT GIVE NO.	SIGNATURE OF DRIVER OF VEHICLE NO. 1	IF SIGNED BY PERSON OTHER THAN DRIVER, GIVE REASON.
FORM SR-23 (FLEET COVERAGE) FILE WITH THE COMMISSIONER?		

SECTION A

An accident in New York State causing death, personal injury or damage over \$200 to the property of any one person must be reported within 10 days. Failure to report within 10 days is a misdemeanor and subjects License and/or Registration to suspension until report is filed.

INSTRUCTIONS

PLEASE PRINT OR TYPE ALL INFORMATION
USE BLACK OR DARK BLUE INK

Begin by folding along this line  and follow the instructions at the top of Section B.

1. If you were involved in an accident with a pedestrian, enter the pedestrian information in the DRIVER block of the space provided for other Vehicle No. 2, and print "PEDESTRIAN" in the OWNER block.

If you were involved in an accident with a vehicle other than a motor vehicle, e.g., snowmobile, mini-bike, aircycle, all-terrain vehicle, trail bike or other non-motor vehicle, enter the driver, owner and vehicle information as you would normally for Other Vehicle No. 2.

If a vehicle is unoccupied, enter all available information. Be sure to enter the correct vehicle plate number and vehicle type in the appropriate VEHICLE block.

2. Driver information must be entered exactly as it appears on each driver's license.

Owner information must be entered exactly as it appears on the Registration of each vehicle involved in the accident.

3. If you were involved in an accident in which there were more than two vehicles, an additional one of these report forms must be filled out. On that form, place the information for the third vehicle in the space marked "Your Vehicle No. 1" and mark it No. 3. Use the space marked "Other Vehicle No. 2" for the fourth vehicle, and mark it No. 4 and so on.

4. The location of the accident is very important and you should describe it as accurately as possible in the space provided. In addition, if the accident occurred on a State highway, you will find a small green sign, called a Reference Marker, somewhere near the crash site. They are posted each 10th of a mile along the highway. The reference marker section should include the number exactly as it appears on the sign.

5. For each person injured in the accident, describe his injuries and check the injury code K, A, B, or C, that applies. When a Pedestrian is injured, place a "P" in the box labeled "In Vehicle Number". Injuries are defined as follows:

K	A
Any injury that results in death.	Severe lacerations, broken or distorted limbs, skull fracture, crushed chest, internal injuries, unconscious when taken from the accident scene, unable to leave accident scene without assistance.

B	C
Lump on head, abrasions, minor lacerations.	Momentary unconsciousness, limping, nausea, hysteria, complaint of pain (no visible injury).

If there are more than three persons injured, another one of these report forms is needed. In the injury section of that report, record the required information for all additional injured persons.

6. Attach any additional report forms to page one. Each page of the report must be numbered in the upper left corner, dated and signed on the bottom line and submitted to:

COMMISSIONER OF MOTOR VEHICLES
EMPIRE STATE PLAZA
ALBANY, NEW YORK 12228

SECTION B

State of New York - Department of Motor Vehicles

REPORT OF MOTOR VEHICLE ACCIDENT

BE SURE FORM IS FOLDED ALONG THIS LINE BEFORE ANSWERING THE QUESTIONS BELOW.

FILL IN THE 9 BOXES TO THE RIGHT BY ENTERING THE NUMBER OF THE ITEM WHICH BEST DESCRIBES THE CIRCUMSTANCES OF THE ACCIDENT.

IF A QUESTION DOES NOT APPLY ENTER A DASH (-).

IF AN ANSWER IS UNKNOWN ENTER AN "X".

TRAFFIC CONTROL

- | | |
|-------------------|-------------------------------|
| 1. None | 6. Officer/Flagman/Guard |
| 2. Traffic Signal | 7. No Passing Zone |
| 3. Stop Sign | 8. RR Crossing Sign |
| 4. Flashing Light | 9. RR Crossing Flashing Light |
| 5. Yield Sign | 10. RR Crossing Gates |
| | 20. Other |

ROADWAY CHARACTER

- | | |
|--------------------------|-----------------------|
| 1. Straight and Level | 4. Curve and Level |
| 2. Straight and Grade | 5. Curve and Grade |
| 3. Straight at Hillcrest | 6. Curve at Hillcrest |

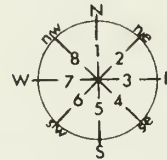
ROADWAY SURFACE CONDITION

- | | |
|----------|-------------|
| 1. Dry | 4. Snow/Ice |
| 2. Wet | 5. Slush |
| 3. Muddy | 10. Other |

WEATHER

- | | |
|-----------|-----------------------------|
| 1. Clear | 4. Snow |
| 2. Cloudy | 5. Sleet/Hail/Freezing Rain |
| 3. Rain | 6. Fog/Smog/Smoke |
| | 10. Other |

DIRECTION OF TRAVEL



1. North
2. Northeast
3. East
4. Southeast
5. South
6. Southwest
7. West
8. Northwest

ACTION OF VEHICLES BEFORE ACCIDENT

- | | |
|--------------------------|--------------------------------|
| 1. Going Straight Ahead | 9. Entering Parked Position |
| 2. Making Right Turn | 10. Parked |
| 3. Making Left Turn | 11. Avoiding Object in Roadway |
| 4. Making U Turn | 12. Changing Lanes |
| 5. Starting from Parking | 13. Overtaking |
| 6. Starting in Traffic | 14. Merging |
| 7. Slowing or Stopping | 15. Backing |
| 8. Stopped in Traffic | 20. Other |

TYPE OF ACCIDENT

COLLISION WITH

- | | |
|------------------------|------------------------------|
| 1. Other Motor Vehicle | 4. Animal |
| 2. Pedestrian | 5. Railroad Train |
| 3. Bicyclist | 10. Other Object (Not Fixed) |

COLLISION WITH FIXED OBJECT

- | | |
|--------------------------------|-------------------------------------|
| 11. Light Support/Utility Pole | 18. Fence |
| 12. Guide Rail | 19. Bridge Structure |
| 13. Crash Cushion | 20. Culvert/Head Wall |
| 14. Sign Post | 21. Median/Barrier |
| 15. Tree | 22. Snow Embankment |
| 16. Building/Wall | 23. Earth Embankment/Rock Cut/Ditch |
| 17. Curbing | 24. Fire hydrant |
| | 30. Other Fixed Object |

NON-COLLISION

- | | |
|--------------------|--------------|
| 31. Overtaken | 34. Ran Off |
| 32. Fire/Explosion | Roadway Only |
| 33. Submersion | 40. Other |

PLEASE READ INSTRUCTIONS 1 THROUGH 6 ON OTHER SIDE OF FOLD BEFORE COMPLETING THE INSIDE OF REPORT.

PEDESTRIAN LOCATION
 1. Pedestrian at Intersection
 2. Pedestrian Not at Intersection

PEDESTRIAN ACTION
 1. Crossing, With Signal
 2. Crossing, Against Signal
 3. Crossing, No Signal, Marked Crosswalk
 4. Crossing, No Signal or Crosswalk
 5. Walking Along Highway With Traffic
 6. Walking Along Highway Against Traffic
 7. Emerging from in Front of/Behind Parked Vehicle
 8. Going To/From Stopped School Bus
 9. Getting On/Off Vehicle Other Than School Bus
 10. Pushing/Working On Car
 11. Working in Roadway
 12. Playing in Roadway
 13. Other Actions in Roadway*
 14. Not in Roadway (Indicate)*

TRAFFIC CONTROL
 1. None
 2. Traffic Signal
 3. Stop Sign
 4. Flashing Light
 5. Yield Sign
 6. Officer/Flagman/Guard
 7. No Passing Zone
 8. RR Crossing Sign
 9. RR Crossing Flashing Lt.
 10. RR Crossing Gates
 11. Stopped School Bus - Red Lights Flashing
 20. Other *

LIGHT CONDITIONS
 1. Daylight
 2. Dawn
 3. Dusk
 4. Dark-Road Lighted
 5. Dark-Road Unlighted

ROADWAY CHARACTER
 1. Straight and Level
 2. Straight and Grade
 3. Straight or Hillcrest
 4. Curve and Level
 5. Curve and Grade
 6. Curve or Hillcrest

ROADWAY SURFACE CONDITION
 1. Dry
 2. Wet
 3. Muddy
 4. Snow/Ice
 5. Slush*
 10. Other*

WEATHER
 1. Clear
 2. Cloudy
 3. Rain
 4. Snow
 5. Sleet/Hail/Freezing Rain
 6. Fog/Smog/Smoke
 10. Other*

VEHICLE OCCUPIED
 1. Driver
 2. Passenger
 B. Bicyclist
 P. Pedestrian
 O. Other*

POSITION IN/ON VEHICLE
 1. Driver
 2-7. Passengers
 8. Riding/Hanging On Outside

SAFETY EQUIPMENT USED
 1. No Restraint Used
 2. Lap Belt
 3. Harness
 4. Lap Belt and Harness
 5. Child Restraint
 10. Other*

EJECTION FROM VEHICLE
 1. Not Ejected
 2. Partially Ejected
 3. Ejected

AGE 12
SEX M/F 13

INJURED TAKEN
 14 BY 15 TO 16

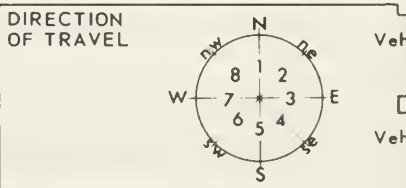
APPARENT CONTRIBUTING FACTORS

HUMAN
 2. Alcohol Involvement
 3. Backing Unsafely
 4. Driver Inattention (Indicate)*
 5. Driver Inexperience (Indicate)*
 6. Drugs (Illegal)
 7. Failure to Yield Right-of-Way
 8. Fell Asleep
 9. Following Too Closely
 10. Illness
 11. Lost Consciousness
 12. Passenger Distraction
 13. Passing or Lane Usage Improper
 14. Pedestrian's Error/Confusion
 15. Physical Disability
 16. Prescription Medication
 17. Traffic Control Disregarded
 18. Turning Improperly
 19. Unsafe Speed
 40. Other Human *

VEHICULAR
 41. Accelerator Defective
 42. Brakes Defective
 43. Headlights Defective
 44. Other Lighting Defects
 45. Oversized Vehicle
 46. Steering Failure
 47. Tire Failure/Inadequate
 48. Tow Hitch Defective
 49. Windshield Inadequate
 60. Other Vehicular *

ENVIRONMENTAL
 61. Animal's Action
 62. Glare
 63. Lane Marking Improper/Inadequate
 64. Obstruction/Debris
 65. Pavement Defective
 66. Pavement Slippery
 67. Shoulders Defective/Improper
 68. Traffic Control Device Improper/Non-Working
 69. View Obstructed/Limited
 80. Other Environmental *

247
 Vehicle 19
 Vehicle 20
 Vehicle 21
 Vehicle 22



Vehicle 23
 Vehicle 24

State of New York
 Department of Motor Vehicles
POLICE ACCIDENT REPORT
 MV-104A (3/78)

*** EXPLAIN IN ACCIDENT DESCRIPTION**
 IF A QUESTION DOES NOT APPLY, ENTER A DASH (—).
 IF AN ANSWER IS UNKNOWN, ENTER AN "X"

LOCATION OF MOST SEVERE PHYSICAL COMPLAINT
 1. Head
 2. Face
 3. Eye
 4. Neck
 5. Chest
 6. Back
 7. Shoulder-Upper Arm
 8. Elbow-Lower Arm-Hand
 9. Abdomen - Pelvis
 10. Hip-Upper Leg
 11. Knee-Lower Leg-Foot
 12. Entire Body

TYPE OF PHYSICAL COMPLAINT
 1. Amputation
 2. Concussion
 3. Internal
 4. Minor Bleeding
 5. Severe Bleeding
 6. Minor Burn
 7. Moderate Burn
 8. Severe Burn
 9. Fracture - Dislocation
 10. Contusion - Bruise
 11. Abrasion
 12. Complaint of Pain
 13. None Visible

VICTIM'S PHYSICAL AND EMOTIONAL STATUS
 1. Apparent Death
 2. Unconscious
 3. Semiconscious
 4. Incoherent
 5. Shook
 6. Conscious

PRE-ACCIDENT VEHICLE ACTION
 1. Going Straight Ahead
 2. Making Right Turn
 3. Making Left Turn
 4. Making U Turn
 5. Starting from Parking
 6. Starting in Traffic
 7. Slowing or Stopping
 8. Stopped in Traffic
 9. Entering Parked Position
 10. Parked
 11. Avoiding Object in Roadway
 12. Changing Lanes
 13. Overtaking
 14. Merging
 15. Backing
 20. Other*

Vehicle 25
 Vehicle 26

LOCATION OF FIRST EVENT
 1. On Roadway
 2. Off Roadway

27

TYPE OF ACCIDENT COLLISION WITH
 1. Other Motor Vehicle
 2. Pedestrian
 3. Bicyclist
 4. Animal
 5. Railroad Train
 10. Other Object (Not Fixed)*

COLLISION WITH FIXED OBJECT:
 11. Light Support/Utility Pole
 12. Guide Rail
 13. Crash Cushion
 14. Sign Post
 15. Tree
 16. Building/Wall
 17. Curbing
 18. Fence
 19. Bridge Structure
 20. Culvert/Head Wall
 21. Median/Barricade
 22. Snow Embankment
 23. Earth Embankment/Rack Cut/Ditch
 24. Fire Hydrant
 30. Other Fixed Object*

NON-COLLISION
 31. Overtuned
 32. Fire/Explosion
 33. Submersion
 34. Ran Off Roadway Only
 40. Other*

First Event 28
 Vehicle 29
 SECOND EVENT
 Vehicle 30
 COVER SHEET
B

There are only 3 valid entries for injury code boxes 14, 15 and 16.

1. Three dashes (-) indicating "does not apply" because no injury occurred.
2. Three X's indicating that an injury did occur but its complete nature is "unknown".
3. Three numeric injury codes which individually reflect the LOCATION OF THE MOST SEVERE PHYSICAL COMPLAINT, the TYPE OF PHYSICAL COMPLAINT and the VICTIM'S PHYSICAL AND EMOTIONAL STATUS.

The injury codes in column 14, the LOCATION OF THE MOST SEVERE PHYSICAL COMPLAINT, are self explanatory. Definitions of the injury codes for columns 15 and 16 are as follows:

COLUMN 15 - TYPE OF PHYSICAL COMPLAINT: This column is used to describe the type of physical injury sustained.

The following are definitions of the Types of Physical Complaints for Column 15:

1. Amputation – Severed parts.
2. Concussion – Dazed condition as a result of blow to head.
3. Internal – No visible injury but signs of anxiety, internal pain and thirst.
4. Minor Bleeding – Slight discharge of blood.
5. Severe Bleeding – Steady flow of blood that is not controlled.
6. Minor Burn – Reddening of the skin.
7. Moderate Burn – Reddening, blistering of skin over large area.
8. Severe Burn – Reddening, blistering or charring of the skin over a large portion of the body.
9. Fracture – Dislocation. Evidence of displacement of bones.
10. Contusion/Bruise – Discoloration.
11. Abrasion – Top layer of skin is scraped.
12. Complaint of pain – No visible injury noted, but victim complains of pain.
13. None Visible – No visible injuries but victim is other than normal.

COLUMN 16 - VICTIM'S PHYSICAL AND EMOTIONAL STATUS: Column 16 is used to describe the overall condition of the injured person. A Victim's Status is defined as follows:

1. Apparent Death.
2. Unconscious – Victim unaware of his surroundings, and does not respond to stimuli (verbal or physical).
3. Semi-conscious – Victim not fully aware of his surroundings.
4. Incoherent – Lacking orderly continuity of thought.
5. Shock – Depressed condition of all body functions, resulting from serious injury or incident.
6. Conscious – Normal and aware of surroundings.

COLUMN 17 - INJURED TAKEN BY: The means by which an injured person is transported to a hospital is to be recorded in Column 17. If the vehicle is an ambulance with a New York ambulance license plate enter the 4 numbers from the license plate. For injured persons taken for emergency medical treatment in a vehicle other than an ambulance with a N.Y. ambulance license plate, enter the following codes in column 17:

9993 Unknown Ambulance
 9994 Coroner's Van or Municipal Emergency Equip.
 9995 Private Vehicle
 9996 Invalid Coach (Funeral)
 9997 Fire Vehicle
 9998 Police Car
 9999 Police Ambulance

COLUMN 18 - INJURED TAKEN TO: See the hospital codes on the bleed through sheet.

For additional information on filling out this form refer to the Police Accident Report Manual (**Form P-33**) and your agency's copies of the **STRIDE** newsletter.

POLICE ACCIDENT REPORT

DMV COPY

Page ___ of ___ Pages

Local Codes

ACCIDENT DATE MO / DA / YR	DAY OF WEEK	TIME <input type="checkbox"/> AM <input type="checkbox"/> PM	NUMBER OF VEHICLES	NO. INJURED	NO. KILLED	NON-HIGHWAY <input type="checkbox"/>	NOT INVESTIGATED AT SCENE <input type="checkbox"/>	LEFT SCENE <input type="checkbox"/>	POLICE PHOTOS YES <input type="checkbox"/> NO <input type="checkbox"/>
-------------------------------	-------------	--	--------------------	-------------	------------	---	---	--	---

VEHICLE 1

VEHICLE 2

LAST NAME DRIVER 1 FIRST NAME MIDDLE INITIAL
NUMBER AND STREET
CITY STATE ZIP CODE

LAST NAME DRIVER 2 FIRST NAME MIDDLE INITIAL
NUMBER AND STREET
CITY STATE ZIP CODE

DATE OF BIRTH SEX UNLICENSED NUMBER OF OCCUPANTS PUBLIC PROPERTY DAMAGED DMV USE
MO / DA / YR

DATE OF BIRTH SEX UNLICENSED NUMBER OF OCCUPANTS PUBLIC PROPERTY DAMAGED DMV USE
MO / DA / YR

LAST NAME OWNER 1 FIRST NAME MIDDLE INITIAL
NUMBER AND STREET
CITY STATE ZIP CODE

LAST NAME OWNER 2 FIRST NAME MIDDLE INITIAL
NUMBER AND STREET
CITY STATE ZIP CODE

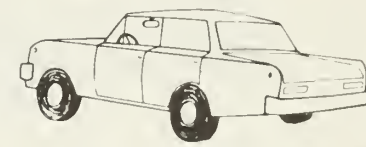
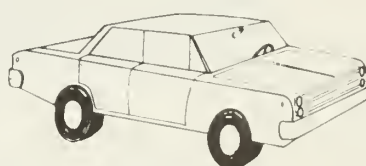
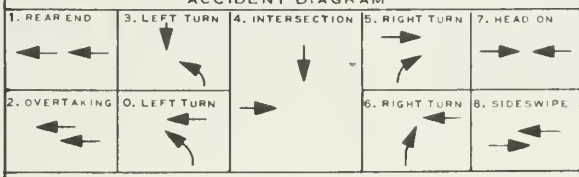
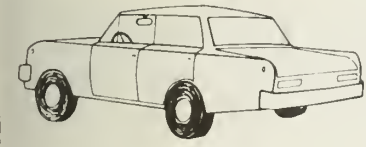
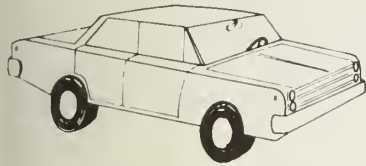
PLATE NUMBER STATE OF REG. YEAR & VEHICLE MAKE VEHICLE TYPE INS. CODE

PLATE NUMBER STATE OF REG. YEAR & VEHICLE MAKE VEHICLE TYPE INS. CODE

VEHICLE 1 DAMAGE

ACCIDENT DIAGRAM

VEHICLE 2 DAMAGE



NO DAMAGE UNDERCARRIAGE

NO DAMAGE UNDERCARRIAGE

VEHICLE BY TOWED TO

VEHICLE BY TOWED TO

REFERENCE MARKER COUNTY CITY TOWN VILLAGE OF ADDRESS/LANDMARKS AT SCENE
ROUTE NO. OR STREET NAME ON MILES N E FEET S W OF ROUTE NO. OR STREET NAME AT INTERSECTION WITH

TICKET/ARREST OPR 1 PEDESTRIAN OPR 2 OTHER TICKET/ARREST NUMBER(S) VIOLATION SECTION(S)

ACCIDENT DESCRIPTION/OFFICER'S NOTES

8	9	10	11	12	13	14	15	16	17	18	NAMES - IF DECEASED GIVE DATE OF DEATH	

OFFICER'S RANK AND NAME BADGE NO. DEPARTMENT PRECINCT/POST STATION/ BEAT/SECTOR REVIEWING OFFICER DATE/TIME REVIEWED

19
20
21
22
23
24
25
26
27
28
29
30

USE COVER SHEET **B**

form and content. Overall, this new step forward in forms redesign has provided more speed, accuracy and an ability to complete all paperwork at the scene while the events of the accident can be observed and are still fresh in the minds of the investigating officers.

A sample supplementary report to record additional information is also enclosed.

We have been advised that the Department of Motor Vehicles, State of New York, will also share its data processing software program with users of the new forms upon request.

The Offense Report and Multi-Purpose Report Form should be used to record an officer's initial investigation of an offense or an incident of criminal nature. It serves as a checklist for the officer in gathering all pertinent information and assembling proof of the elements of an offense to be charged. It provides information to the department and assists the prosecutor in preparing the prosecution case as well as permitting him to anticipate probable defense of the defendant. It assists the officer in refreshing his memory of the facts of a case prior to trial. The offense report also assists the officer's supervisor in evaluating the officer's performance.

The Arrest Report should be used to accommodate, on one form, on-view arrests for nonaccident traffic cases, in addition to completing other appropriate forms. It should also be used to report all custody arrests of persons for any other charge, and in these cases, it should be prepared in addition to the basic offense form required.

The Supplement Report should be used as a continuation sheet when a basic report form is insufficient to accommodate all of the information. (Illustrated herein.)

It should also be used as a supplemental form to make corrections to an original report or to report follow-up or supplemental investigative action.

The Vehicle Report is designed to record preliminary investigative data concerning any crime involving the loss of an automobile. This form is also used to record the recovery of automobiles and "tow-in" of automobiles.

The Property Record should be used to provide a formal method of recording evidence which is taken into police custody and to show the continuity of possession. This form is also completed when an officer accepts abandoned property and other material held for safe-keeping for the owner or his survivors. In these cases, the appropriate offense or incident form should accompany the Property Record and should indicate the facts concerning the acquisition of the property and the investigation. The recommended Property Record form thus can be used in all instances where property comes into the possession of the department.

The Prosecution Report should be used by officers in organizing cases for court presentation and to assist the prosecutor in his duties. This form is intended to provide a brief summary description of the offense, a list of the items stolen, the evidence involved and its location, a list of those who will present the evidence required in court, the witnesses available, the elements of the offense, and who can testify or present evidence as to each.

The Field Interview Card should be used to make individuals aware of the aggressive efforts of the police to provide public attention, to record the names of suspects as a reference if crimes are later discovered, and to record the license numbers of automobiles parked under suspicious circumstances as a reference if crimes are later discovered.

Copies of the recommended forms and a more detailed explanation of their use is provided in the proposed reporting guide contained in the appendix.

Each of the recommended report forms is structured to permit rapid execution by simply filling in blanks and writing a brief narrative. The forms are designed to assist the officer in soliciting information which is necessary for the effective analysis of crime and other incidents. Each report contains specialized items of information relating to the general category of offenses in order to aid the officer in his follow-up investigation.

The forms may, at first, appear to be complicated or cumbersome because the reader is unfamiliar with the format. In a short time, however, officers will find the forms easier to complete because the structured form greatly reduces the need for lengthy narrations. Under the proposed system, the quality of report-writing will be improved, the technical and administrative purposes of reporting will be more efficiently accomplished, and an accurate means for analyzing the department's activities will be created.

The proposed forms are structured so that a 3 x 5 inch portion located in the upper right-hand section of the form may be prepared to furnish an alphabetical index card, thus saving clerical time. Obviously, officers must complete the form clearly and legibly if it is to be useful. This feature of the report is intended for the headquarters processing of field reports. We will recommend a simple system for the processing of reports at the district level.

The department should seriously consider a change to the new police accident report form recommended. Each accident report should receive a complaint number from communications. In the proposed system, traffic accidents should be filed by complaint number along with other reports.

Report Preparation. On each assignment to a traffic accident, crime, or other incident, a uniformed officer should handprint the results of his inquiry or activity

IACP

SUPPLEMENTAL REPORT

1. EVIDENCE NUMBER		2. ARREST, CITATION, OR SUMMONS NO.		3. COMPLAINT NO.	
4. NAME OF COMPLAINANT, DRIVER #1, VICTIM OR ARRESTEE			5. DATE OF THIS REPORT		6. DATE OF ORIGINAL OCCURRENCE
7. FORM USED AS CONTINUATION SHEET FOR CURRENT REPORT <input type="checkbox"/>			8. OFFENSE, CHARGE OR INCIDENT ON ORIGINAL REPORT		
9. FORM USED TO REPORT FOLLOWUP INVESTIGATION OR SUPPLEMENTAL INFORMATION <input type="checkbox"/>			10. CORRECT OFFENSE OR INCIDENT CLASSIFICATION		CHANGED <input type="checkbox"/> YES
11. KIND OF REPORT CONTINUED <input type="checkbox"/> ARREST <input type="checkbox"/> VEHICLE <input type="checkbox"/> OTHER _____			12. MULTIPLE CLEARANCE <input type="checkbox"/> YES (LIST OTHER COMPLAINT NUMBERS IN NARRATIVE) <input type="checkbox"/> NO		
13. INSTRUCTIONS FOR FOLLOWUP OR SUPPLEMENTAL USAGE.			UNDER NARRATIVE RECORD YOUR ACTIVITY AND ALL DEVELOPMENTS IN THE CASE SUBSEQUENT TO LAST REPORT. DESCRIBE AND RECORD VALUE OF ANY PROPERTY RECOVERED, NAMES AND ARREST NUMBERS OF PERSONS ARRESTED. EXPLAIN ANY OFFENSE CLASSIFICATION CHANGE. CLEARLY SHOW DISPOSITION OF RECOVERED PROPERTY AND INVENTORY NO. RECOMMEND TO SUPERVISOR CASE STATUS AND TO REVIEWER UCR DISPOSITION. INDICATE "ITEM NUMBER CONTINUED" AT LEFT, IF ANY.		

ITEM NO.	FACTS: Time received call, time of arrival, etc. Anything to which officer can testify to of his own knowledge (skid marks, etc.).
	STATEMENTS: Either summary or (for cases in which court hearings can be expected) quotations of questions and answers, including time, place, those present, etc.
	OPINIONS, CONCLUSIONS: Causes of accident, etc. What officer believes happened.
	RECOMMENDATIONS: Follow-up Engineering Prosecution

14.	MONEY	JEWELRY	CLOTHING	FURS	AUTO ACCESS.	BICYCLES	MISCELL.
STOLEN	\$	\$	\$	\$	\$	\$	\$
15.	MONEY	JEWELRY	CLOTHING	FURS	AUTO ACCESS.	BICYCLES	MISCELL.
RECDVERED	\$	\$	\$	\$	\$	\$	\$
16. REPORTING OFFICER NO.		17. 2ND OFFICER NO.		18. SUPERVISOR APPROVING NO.		18. CASE STATUS (STATUS <u>MUST</u> BE INDICATED FOR ALL CASES, INCLUDING NON-CRIMINAL INCIDENTS)	
						<input type="checkbox"/> OPEN (PENDING) <input type="checkbox"/> CLOSED <input type="checkbox"/> SUSPENDED CASE DISPOSITION (DISPOSITION OF CRIMINAL CASES <u>MAY</u> BE INDICATED AS APPROPRIATE) <input type="checkbox"/> UNFOUNDED <input type="checkbox"/> CLEARED BY ARREST <input type="checkbox"/> CLEARED EXCEP	
				OFFICE USE ONLY			
				19. DATE/TIME TYPED NO.		20. REPRODUCED BY NO.	
				21. UNIT REFERRED TO		22. UCR DISPOSITION	
				23. REVIEWER NO.		PAGE NO. OF	

24. COMPLAINT NO.

Field Interview Form
(5" x 3")

NAME: (PRINT)				LAST	FIRST	MIDDLE	SEX	RACE	AGE	
ADDRESS:						NICKNAME:				
PLACE EMPLOYED OR SCHOOL:				USUAL OCCUPATION:			D.O.B.			
HEIGHT	WEIGHT	HAIR	COMPL.	<input type="checkbox"/> MUST.	DRESS:					
<input type="checkbox"/> YES <input type="checkbox"/> NO		COLOR	YEAR	MAKE	MODEL	VEH. LIC. NO.	OPR. LIC. NO.			
IN COMPANY WITH: NAME						ADDRESS		SEX	RACE	AGE
1.										
2.										
STATE BRIEFLY CIRCUMSTANCES OF INTERVIEW: (USE REVERSE IF NECESSARY)										
							ROUTE TO:			
LOCATION OF INTERVIEW:				DATE	TIME	OFFICER	BEAT			

on the appropriate formset. He should do this without interim or "scratch" notes. As soon as possible, he should report "back in service." Report-writing is thus made a meaningful part of the elapsed time factor. Circumstances may dictate exceptions, but as a rule, the report should be completed at the scene of the incident.

Officers should be required to submit their field reports for review at the end of their tour of duty. When an officer is assigned to a post or district station, reports should be handcarried or mailed to the district office daily. Field reports should be reviewed immediately by supervisors and the original forwarded by mail to headquarters on the same day if in any way possible.

Supervisory Review of Reports. The primary responsibility for complete and accurate reports should be placed upon the field sergeant as an integral part of the supervisory and evaluative functions. His signed approval of poor reports or his failure to recognize an officer who does not progress in report-writing should be considered at personnel rating time and recorded by his supervisor. To facilitate the proper review and prompt processing of reports, the field supervisor should ask for completed forms as he contacts his men for backup or observation. The precise review process at both the district level and at headquarters is discussed in the following section of this chapter.

Report-Writing Training. Before adoption of the recommended report-writing system, members of the department should receive proper training. This training should include the reasons for, as well as the techniques of, good report-writing.

After formal adoption of the system, all supervisory and command personnel should be held individually responsible for supporting the new reporting and records system. They should take affirmative action to secure details on any complaint that reporting procedures are unreasonable, unrealistic, unnecessary, or unrelated to police work. (The poorly informed officer will challenge the "paper battle" or the "paper shuffle" and ask, "Who's going to do the police work while we're writing reports?"). The chief, if made aware of such complaints, should review and study these problems in order to adjust or correct inaccuracies or defects in the system. He should also impress on all officers the importance of a good records-keeping system to good operation and management.

The chief of the Montana Highway Patrol should follow closely the implementation of the recommended system and carefully observe the results obtained, including the effect on accident and crime investigation, successful prosecution, tactical procedures, traffic and crime analyses, and resulting operational plans. He should insure that all personnel are aware of the increased informational advantages of the system. He should carefully refrain from any commitment favoring reduction in report-writing or records procedures until he has obtained complete and objective facts supporting such action after a fair trial period for the new system, consisting of at least one year.

Recommendations

1. Adopt a policy and require that officers submit a report on all traffic or criminal incidents to which they are dispatched and all on-view incidents in which they take action or refer to another law enforcement agency.
2. Formalize the complaint processing and field reporting activities of the department and upgrade the level of reporting.
3. Require current and timely receipt of all reports at headquarters.
4. Strengthen administrative control at headquarters over the departmental information system.
5. Improve functioning of the information system within district commands.
6. Utilize the Complaint Control Card and the Administrative Control Card as illustrated and discussed in the text.
7. Adopt and administer issuance of a single, nonduplicated number for every called-for-service or on-view activity (including accidents) and insure that it is strictly administered with no exceptions permitted.
8. Utilize a numerical numbering complaint processing system with blocks of numbers issued to each field district as recommended in the text.
9. Insure that complaint control numbers are obtained and Complaint Control Cards are completed on every on-view incident handled and every sheriff or local police dispatch of a highway patrol unit.
10. Adopt the report forms described in this section and in the appendix.
11. Adopt the proposed field reporting system and distribute to patrol officers a looseleaf reporting guide as illustrated in the appendix. Include tabbed dividers for easy reference to each section and desired report forms.
12. Adopt the hand preparation of reports in the field as a part of the elapsed time of an accident investigation or other incident as described, and require that field reports be submitted for supervisory review on the day of recording. Emphasize the importance of legibly handprinting field report forms.

13. Require field supervisors to collect and review the reports of their personnel daily as described in the text.
14. Conduct intensive training sessions for all command, supervisory, field officers and all clerical personnel involved in the reporting system.

Section 3 - Information Processing, Storage, and Retrieval

The previous sections of this chapter have dealt with the two components of the total information system—complaint processing and field reporting. This section will address the manner in which the records function processes and makes available to the department information received from the complaint processing and field reporting components of the information system. We are concerned here with information processing, storage, and retrieval systems employed at both the district commands and the headquarters facility in Helena. Further, our interest, at this point, concerns accident and incident reports only.

Accident Reports. Montana Highway Patrol accident reports are normally prepared in 4 copies; a pink, a yellow, a green and a white supplemental type which contains space for extra notes, injury information and a larger accident scene diagram space. The green and white copies are retained by the patrolman for his use in court testimony. The pink and yellow copies are sent to field division headquarters for approval. The green copy is filed at division headquarters chronologically by county. The pink copy is mailed to headquarters in Helena. No purging schedule is utilized, therefore, accident reports in division are maintained indefinitely. Whenever space indicates the need, older reports are removed from division files and placed in storage (usually a Department of Highways storage area).

Criminal Offense Reports and Complaint or Offense Reports, when prepared, are retained by patrol officers for reference and/or filed at division in varying type files at different divisions. In some cases these reports are filed in individual officers' field personnel records jackets. Copies of criminal offense reports and complaint or offense reports are not normally forwarded to headquarters in Helena and no criminal offense files are maintained in headquarters records files.

Information Processing at Headquarters

Accident reports (pink copies) are normally received at headquarters by the chief's secretary where they are date-stamped and then transmitted to the Accident Records Section, where they are sorted, issued an I. D. number and processed. They are then sent to keypunch for data entry on diskettes in preparation for computer storage. When returned to Accident Records Section, rural accident reports are matched up with drivers' reports and filed temporarily by year—county—and date. After approximately 2 months, they are permanently filed by federal aide route number. City accident reports submitted by highway patrol officers and other agency accident reports are handled in a similar manner and filed under slightly varied systems.

We are concerned with the fact that the department has not established general case files for the filing of traffic accident reports, criminal offenses reported to highway patrol officers or on-view, stolen automobile files, stolen property files, property files, etc. We are also concerned with the fact that the department has not established a Central Records Section. Accident reports stored in the Accident Records Section are maintained primarily as a data base for statistical information on accidents. Witnesses' statements, recovered or seized property, alcohol influence reports, impound reports, coroner's reports, etc., are maintained by the field officer, filed at division, or filed in auxiliary files at headquarters. They are not attached to the accident report as a master case file. Under the present system, field divisions tend to operate as separate entities unto themselves and headquarters lacks information and knowledge as to the quality, extent, and to a large degree the disposition of case investigations. Far too much discretion is left to the patrol officer on when to report, what to report, and what follow-up action he should take, if any. Productivity and total workload measurement are impossible to assess accurately. In addition, the department is entirely dependent upon the local sheriff for the production of fingerprint cards and arrest report information and the transmission of this information to the State Identification Bureau and to the Federal Bureau of Investigation for fingerprint processing and criminal history recording.

Analysis of Information Processing Procedures

As discussed elsewhere in this report, the decentralized nature of the Montana Highway Patrol has required that many procedures be adopted which would not normally be considered desirable. Field divisions have found it necessary to maintain extensive and complicated filing systems for information purely because the technical capability to communicate with headquarters and other field divisions has been limited. The net effect of this historical development is that existing procedures and methods are designed to accommodate a decentralized operation, when, in fact, the recent trend is for greater centralization. When the ability to communicate between the headquarters facility and the field division increases, the need for maintaining the excessive files at the division level should decrease. Conversely, greater centralization requires that the headquarters facility increase its resources to process and handle information. Standardization of procedures is the first step toward centralizing or maintaining control over the records processing system.

Standardization Efforts. There is need to develop a complete records and reporting procedure and to standardize procedures in all of the newly proposed field districts and at headquarters. Staff inspections should be routinely conducted to insure that systems are standardized and operate in accordance with regulations.

File Structure. There is a definite need to establish a more formal and comprehensive filing system at headquarters and a reduction in the files maintained at the new districts. Every effort should be made to establish self-sufficiency in records reporting and storage.

Offense and Arrest Data. There is a serious need for the Highway Patrol to maintain control over information gathered through the arrest of traffic and criminal

violators. A system should be developed wherein offense data and arrest information will be maintained in central records storage files.

Stolen Property Notifications. Patrol officers should be responsible for including property that is reported to the department as stolen, including stolen vehicles, into the NCIC system. Controls should be initiated at the headquarters level to insure that stolen property is actually included into the NCIC system.

Our recommendations concerning the information processing procedures and practices for the Montana Highway Patrol are designed to overcome the deficiencies of the present system and to increase the level of centralization of the information within the Highway Patrol. Our recommendations in this regard are presented in terms of information processing requirements at the district level and at the headquarters level.

Proposed Information Processing Practices and Procedures (District Commands)

Recommendations regarding administrative and personnel files are discussed elsewhere. Our comments here will deal with the following subjects:

- Line review
- Traffic and offense reports
- Arrest information
- Departmental and nondepartmental property files

The subject of warrants is discussed at great depth later in this section and should be referred to with regard to the information processing practices conducted at the district level.

District Report Review. Sergeants should be responsible for the initial review of field reports submitted by officers in terms of their completeness and quality. Thereafter, the clerical staff of the district command should compare the officers' field reports with issued Complaint Control Cards, by numerical sequence, to determine and insure that a field report has been submitted for each Complaint Control Card that was prepared. Each accident and offense report should be read critically for accuracy, completeness, and compliance with reporting procedures. Descriptions of stolen property suitable for inclusion in NCIC should be marked for processing by the dispatcher.

Distribution. Each field report should be prepared on a formset consisting of one original and two copies. After the line review process has been completed and information relative to stolen property noted, the original case report should be forwarded immediately to the headquarters Central Records Section. The second copy

should be retained and filed at the district level. The third copy should be utilized by the district officer as a working copy. When a case is not assigned for follow-up investigation or court, this copy should be attached to the second copy and filed as will be discussed later.

Assignment and Follow-up Control. Under normal circumstances, the patrol officer should be responsible for the preliminary investigation of any traffic accident or other incident to which he is assigned or which comes to his attention on-view or reported. Further, he should be responsible for the follow-up investigation of any traffic related misdemeanor or felony case to which he has been assigned or of which comes to his attention on-view or reported. To control assignments for follow-up investigation, the district clerical staff should maintain a case assignment and follow-up file. A case assignment card should be prepared reflecting the complaint number, victim or complainant's name, offense category, and the date the case was assigned to the district officer. The card should then be placed in a nine-day suspense file. The purpose of a nine-day suspense file is to insure that investigative follow-up has been completed within the time period required. In the nine-day period, the officer should indicate the investigative status of the case. Only three designations should be used: (1) open, (2) suspended, and (3) closed.

Filing and Indexing of Field Reports. All field reports, including criminal offenses and traffic accident investigations, should be filed at the district level alphabetically by complainant or victim's name. In cases of multiple victims, complainants, witnesses, or suspects, a blank of 8-1/2 x 11 inch paper should be prepared for each additional name and inserted into the file alphabetically with a reference to the master name under which the case is filed. This system precludes the necessity of a name index file for access to case reports. Each alphabetic file should be maintained for a one-year period. The district command should only retain alphabetic files of cases for the year in which the offense occurred and the year preceding the offense. Thereafter, files should be purged appropriately. In this fashion, only two years of case files should exist at any given time within the district.

Arrest Information. Maintaining control over arrest activity in the various district stations is of primary importance, since persons arrested by the Highway Patrol are normally incarcerated in county jails not under the direct control of the Highway Patrol. To accomplish the needed measure of control, an arrest booking log should be maintained at the district level. The log should reflect the headings illustrated below:

Identification Number Assignment - Adult

(1)	(2)	(3)	(4)	(5)	(6)
C. H. Number	Name	Date	F. P.	Photo	Initials

The column numbers facilitate the interchange of information and are used below to identify the abbreviated headings:

- (1) C. H. Number - the consecutive criminal history number obtained from the County Sheriff's Office where prisoner is booked
- (2) Name - the name of the person to whom the number was assigned
- (3) Date - the date the number was assigned
- (4) F. P. - to be checked when fingerprints were taken
- (5) Photo - to be checked when photograph was taken (mug photo number may be added)
- (6) Initials - to be initialed by the person responsible for making the log entry and searching the name through NCIC

When arrests occur at posts, the district office should be notified immediately concerning information to be included in the central arrest control log. The name of each person arrested and entered on the control log should be immediately searched through NCIC. The time, date, and disposition of the name search should be reflected under Column (6).

A copy of the arrest report should be forwarded immediately to headquarters with the offense report copy. The remaining two copies of the arrest report should be filed under the arrestee's name in a general case file and properly cross-indexed to the victim or complainant's name. Once the court disposition has been obtained, the disposition should be reflected on the second arrest report copy and forwarded to headquarters immediately. The third copy should be retained in the district general case file.

Shortly after a Montana State Highway Patrol officer initiates an arrest, the following documents should be expeditiously forwarded to headquarters:

- Original copy of arrest report
- Original copy of field offense report

These documents should be the basis of arrest and criminal offense information in the Central Records Section.

We recognize that these recommendations are grossly opposed to the present system which leaves all arrest reporting and criminal history record processing to the local

sheriff; however, we believe that the Montana Highway Patrol should not abdicate its responsibility entirely for these functions. We do not insist that the Highway Patrol set up its own booking facilities and fingerprint and mug photo equipment. We do recommend that the Highway Patrol prepare, and distribute its own arrest reports, offense reports and other related documents. We also propose that the Highway Patrol maintain its own record files on these and other reports and that they be located in a headquarters Central Records Section. (See Section on Jurisdiction and Authority contained in the Organization and Span of Control Chapter of this report for recommendation on expanding statewide law enforcement powers.)

Property Files. From a practical standpoint, the control over impounded motor vehicles, evidence, and recovered and found property should be exercised at the district level. Appropriate auxiliary report forms reflecting any district control over property should be forwarded to headquarters and filed with the field reports which initiated the action. Further, logs should also be utilized to control property at the district level. Two numerical inventory controls pertaining to property should be maintained within each highway patrol district.

The first log concerns motor vehicles. An impounded motor vehicle inventory log should be maintained in the district. Information should be entered on the log when the impounding officer calls for a motor vehicle number. This number should be issued from the district by dispatchers. The log should reflect the following data:

- Motor vehicle inventory number
- Complaint number
- Traffic citation number
- Date
- Time
- Garage or other place of storage
- Make and registration number
- Reporting officer
- Property custodian (towing service or garage having contract or under written agreement approved for this service)

The second log should be used for evidence and recovered or found property. Upon taking any property into custody, an officer should complete the appropriate report form (accident report, offense report (multipurpose) etc.) to record the circumstances relative to the taking of the property. If property is taken into custody after a previous report has been made, a Supplement Report should be completed. In every case, the impounding officer should complete a Property Record in addition to the other required reports. This form is illustrated in the Recommended Reporting Guide included in the appendix.

The construction of lockers for property storage at the districts will permit maximum security. The lockers should be locked at all times, and keys should be available only to personnel authorized to open them.

All property received, either at headquarters or at the districts, should be entered in a property control log. The log should reflect the following:

- Property inventory number
- Complaint number
- Date
- Time
- Reporting officer
- Property custodian (officer)

The property inventory should be assigned a special series of consecutive numbers. A copy of the Property Record, indicating the inventory number, should be given to the receiving officer at the district. The officer accepting the property at the district should tag the property, note the storage point on the property form, and send a copy to the Central Records Section in Helena for filing.

The district clerical staff should periodically inventory the property to determine which items should be disposed of. Utilizing the proposed inventory number control system will facilitate the function of disposing of property periodically. Narcotics should be stored in a safe or locked cabinet under the control of the district commander.

Access to property storage areas should be strictly controlled and under no circumstances should nondepartmental personnel or unauthorized departmental personnel have access to the property storage room or to the keys.

Proposed Information Processing Practices and Procedures (Headquarters)

The headquarters information processing activity should be the responsibility of the Central Records Section of the Technical Services Bureau. Our objective here is to emphasize the need for the Montana Highway Patrol to expand and formalize its information processing services into a central state depository of police information.

As previously identified, one of the major deficiencies in the information processing of the Montana Highway Patrol is the lack of centralized control over information generated by operational units in the field. Further, the level of information exchange among the operational districts needs to be improved. Our recommendations here are presented to overcome these deficiencies.

Headquarters Review. The Report Review and Information Control Unit, when implemented, should initially receive field reports, Complaint Control Cards, and Administrative Control Cards from the various districts. The Report Review and Information Control Unit should be responsible for the following:

- Reviewing field reports for legibility and completeness
- Insuring that field reports reflect a supervisor's signature of approval
- Assigning the Uniform Crime Reporting Classification
- Insuring that stolen property and vehicles have been entered into NCIC

If, during the review process, a field report is determined to be inadequate by the report-review officer, a correction notice should be prepared in duplicate and the original forwarded to the district command from which the field report originated. The correction notice should indicate what part of the field report requires correction or attention. The second copy of the notice should be filed in a 10-day suspense file, and district commands should be responsible for returning the correction notice within the 10-day limit, reflecting the action taken at the district level. If the district fails to return the correction notice within the 10-day period, the inspectional service activity of the department should be notified for further action. However, the field report should continue through the processing stages at headquarters, rather than holding the report until the correction notice is returned.

Master Name Index. The Central Records Section should prepare a 3 x 5 inch index card for inclusion in a master name index for each victim, complainant, witness, and suspect mentioned in a Montana Highway Patrol field report, including both traffic and criminal incidents. Index cards should reflect data providing access to the general case files.

Consequently, the index card should reflect a subject's criminal history or identification number obtained from a respective sheriff's office, and complaint numbers of case reports in which the subject was mentioned. This file might later be considered for automation.

General Case File. Present case files should be modified to include field reports (both traffic and criminal) filed numerically by complaint number as discussed earlier. File folders, with color-coded tabs reflecting a complaint number series of 50 cases each, should be used to store field reports. When a substantial number of supplementary reports have been prepared on one field report, such as in a traffic negligent homicide, one file folder should be utilized for the case file. Color-coded file folders can be utilized in two ways. First, purging of files can be facilitated by distinctly color coding all field reports prepared during one year. Second, color coding can be utilized to denote one series of complaint numbers issued to a single district during a given year to facilitate identification of reports by district within the file system.

The use of officer's badge numbers for numbering accident reports, as radio call numbers and for license plate numbers should be discontinued and appropriate systems introduced as discussed in other sections of this report.

The complaint numbered case file of an accident or a criminal incident which is maintained in the Central Records Section at headquarters should be a complete master file of the case. All auxiliary reports supplementing the field report should be attached to the original report form or included in a jacket therewith. For example, a fatality accident report may have included in its case file jacket an accident report form, driver's accident reports, witnesses' statements, vehicle impound report, evidence reports, laboratory reports, alcohol reports, coroner's report, court disposition report, etc. In every case the headquarters file on each complaint case should be a complete file and should be subject to review by the chief or other responsible staff officer at any time.

When the local court has disposed of a case and the patrol officer closes the case out he should forward his complete case file to the Central Records Section. The Central Records Section should compare the Central Records master file with the officers file—retain original handwritten copies of reports, witnesses' statements and officers notes, and after ascertaining that the Central Records file is complete in all respects—destroy the duplicates and close the case. Similar procedures would apply when a case is suspended.

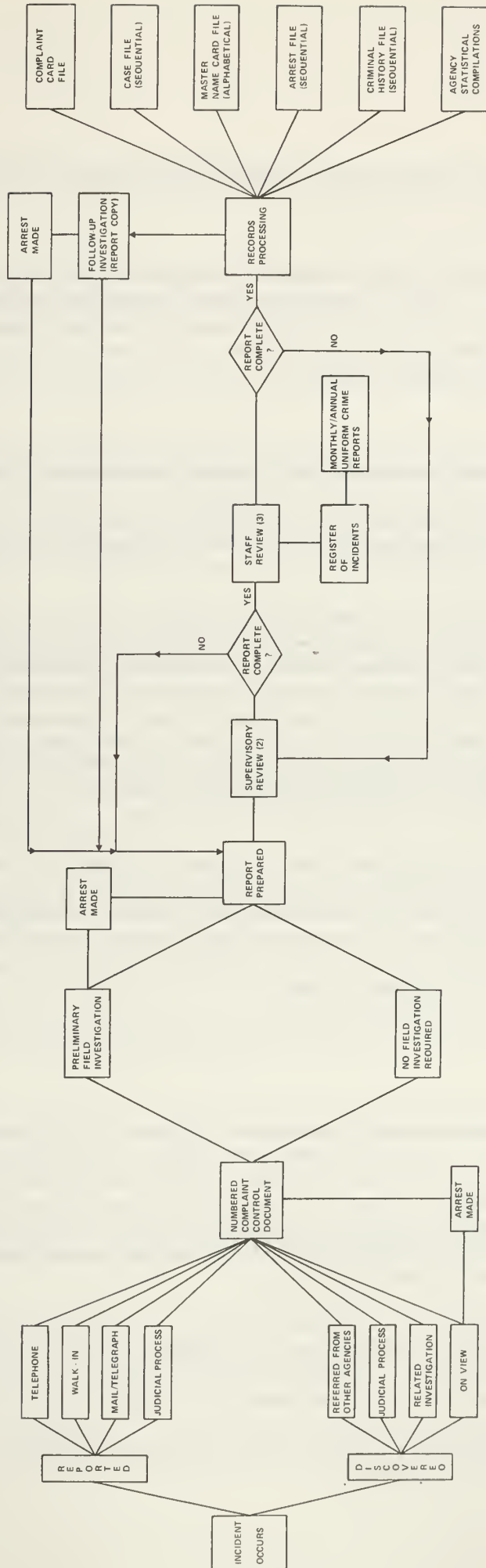
Model Incident Reporting System. To assist department personnel in understanding IACP recommended records and reporting procedures, a model incident reporting system has been developed and is enclosed. As noted the model illustrates the various methods of data capture and investigative activities conducted, steps involving data review and verification and data aggregation.

Citation Control and Warrants

Under authority of Section 31-112 RCM Highway Patrol officers are legally authorized to accept bail money on the street from violators for certain types of traffic violations. On their own volition they may otherwise elect to take the violator before the nearest magistrate for the purpose of posting bail. While Montana Patrol officers utilize pre-prepared bail schedules issued and signed by local magistrates, such a system is generally not in use nationwide. We believe that a system which forces an arresting officer to solicit and collect bail money from a violator is inappropriate. Local citizens and especially citizens from other states look upon such a system with disdain. We propose that the chief consult with the attorney general and consider alternatives to this procedure. From a review of the statute it appears that the procedure is optional and not a legislative requirement.

The IACP recommends that residents of the state be released with a traffic citation which when signed is a promise to appear. When the violator fails to post bail or appear for trial a warrant of arrest should be issued by the magistrate and served by the Highway Patrol. The Highway Patrol officer should retain the option to take violators before

MODEL INCIDENT REPORTING SYSTEM



2. SUPERVISORY REVIEW INCLUDES READING REPORT FOR
- COMPLETENESS
 - LEGIBILITY
 - CRIME ELEMENTS
 - PENAL CODE REQUIREMENTS
 - ADHERENCE TO DEPARTMENTAL POLICY
3. STAFF REVIEW INCLUDES
- MATCHING COMPLAINT CONTROL DOCUMENT TO REPORT
 - CLASSIFYING FOR UCR PROGRAM
 - VERIFYING CASE CLEARANCES
 - VERIFYING UNFOUNDED CASES
 - PREPARING REGISTER OF INCIDENTS
 - COMPLYING MONTHLY & ANNUAL UNIFORM CRIME REPORTS

the nearest magistrate when he has reason to believe they may not voluntarily post bail or appear for trial.

Non-resident violators should be handled in a similar manner under the blanket of a non-resident violators compact between the State of Montana and adjacent states. These agreements provide for controls over the issuance of vehicle registration or drivers licenses in a nonresident's state of residence until he has paid his penalty assessment in the state where the violation occurred.

The State of Montana should also research a computerized traffic citation program which will alleviate hand processing and collating of citations by hand and will not only speed up the process but will vastly increase the efficeincy of the system. The State of New York Department of Motor Vehicles has developed such a system and has informed us that they will gladly share the software program with Montana upon request.

Another problem concerns the exchange of information among the Highway Patrol districts regarding persons wanted for offenses below the NCIC threshold. At present, all warrants of arrest for persons wanted in misdemeanor offenses are obtained from a magistrate in the judicial district in which the offense occurred and filed at the district command. No central state depository exists. Consequently, a Highway Patrol officer conducting a name check on a person with an outstanding warrant of arrest issued in another Highway Patrol district will not learn of the warrant unless a direct telephone call is placed to the particular district or officer.

The problems previously identified, when considered together, contribute to an unsatisfactory warrant system in the State of Montana. The IACP recommends that the state conduct an in-depth study of the present warrant system. Particular attention should be given to the establishment of a statewide depository of persons wanted for offenses below the NCIC threshold. Such a system should be supported by automation and the system should be on-line 24 hours a day.

Records Disposal

As noted previously in this report the Montana Highway Patrol has not established nor do they use any kind of a records retention schedule as a guide to the management of their old departmental records. Chapter 1-1300, titled Records Management, of the Montana Operations Manual, Volume I, sets forth administrative guidance and rules for the retention and destruction of departmental records. Section 1-1380 sets forth procedure for centralized microfilming and directs that before considering microfilming, a department must take the following steps:

- Establish retention periods for all records
- Dispose of valueless records
- Retire those records requiring further retention to a low cost storage area

General records retention schedules are contained under Section 1-1390.17 of the cited reference.

IACP guidelines to assist the department in the development of policy for records retention and records destruction are listed as follows:

- Retain the proposed Complaint Control Card for three years, then microfilm and destroy.
- Retain non-criminal reports for three years, then destroy.
- Retain investigative files of more serious matters until the statute of limitations has expired, then microfilm and destroy.
- Retain traffic accident report forms and related name index cards not falling within the above category for five years, then microfilm and destroy.
- Retain "information" copies in other offices for six months, then return to the Central Records Section for examination and destruction. Require written justification for exceptions in individual cases.
- Retain indefinitely the name index cards relating to arrested persons.
- Retain name index cards relating to complainants and victims for five years, then remove as a unit and microfilm in alphabetical order. Destroy the cards.
- Retain slips or cards in the cross-indexes by classification and location for three years, then destroy.
- Retain cards filed by description of property for three years and then destroy, unless there is valid reason for further retention.

Increased volume due to activation of a fully centralized informational system will require close scheduling of stored material through the states of (1) active reference, (2) inactive reference, and (3) microfilming and destruction or microfilming and transfer to archives ("dead" storage).

Duplication of material in storage resulting from the practice of various offices maintaining duplicate files should be eliminated with a properly coordinated central system. Prior to the adoption of a records retention schedule, the commanding officer of the Technical Service Division should contact the attorney general and the state records committee to explore the legal ramifications and obtain approval for destruction of the many different types of department records and documents.

Recommendations

1. Develop a new general order standardizing filing and information processing procedures in field districts and at headquarters and assign the proposed Inspections and Internal Affairs Section and responsibility of insuring compliance.
2. Establish a more formal and comprehensive filing system in the Central Records Section at headquarters and reduce the files maintained in the field districts.
3. Maintain control over information gathered through the arrest of traffic and criminal violators by the establishment of arrest and criminal offense report files.
4. Establish a stolen property data system and insure that stolen property is actually included into the NCIC system.
5. Modify information review, processing, and distribution procedures at the district level as discussed.
6. Adopt case assignment and follow-up procedures as outlined in the text.
7. File all field reports alphabetically in the district stations and retain files for the year in which the offense occurred and the year preceding the offense, thereafter purge as recommended in the text.
8. Adopt an arrest booking log in each district.
9. Insure that all persons taken into custody by the highway patrol are checked through NCIC prior to being released.
10. Forward appropriate arrest and offense report documents to the Central Records Section for storage as recommended in the text.

11. Adopt the impounded motor vehicle log and the property control log and provide property security as discussed in the text.
12. Adopt the headquarters review of field/reports process as outlined in the text.
13. Establish new headquarters files and indices as discussed in the text.
14. Insure that each field report filed in the Central Records Section is a master file of all activity and reports developed in connection with the case.
15. Establish a procedure wherein patrol officers transmit their case files to the Central Records Section for processing and destruction of duplicates when a case is closed or suspended.
16. Utilize the Model Incident Reporting System as a guide in the development of a departmental information processing, storage and retrieval system.
17. Conduct a study and upgrade the citation control and warrant systems as proposed in the text.
18. Discontinue the practice wherein patrolmen have the right to set and accept a despoit for appearance (bail) justifiable for the offense charged for traffic violators.
19. Develop and implement a records retention schedule as proposed in the text.



VII

UTILIZATION OF COMPUTER TECHNOLOGY

Data processing support for the Montana Highway Patrol Bureau is provided by the Computer Services Division, State Department of Administration. Systems analysis and conceptual design for the system known as the Montana Integrated Traffic Records System (ITRS) was completed by the Montana Highway Traffic Safety Division and started in 1973. The ITRS conceptual design incorporates up-to-date technology in systems design with multiple computer networks, coordinated communications concepts, and integrated design techniques. While the initial thrust of ITRS was toward traffic related records, its design is comparable with information bases throughout the Montana state government.

ITRS is broken down into the following operationally based subsystems: driver license subsystem, accident records subsystems, police traffic services subsystem, title and registration subsystem, roadway environment subsystem, and the safety management subsystem. The subsystems are in various stages of development.

At the present time, the Data Processing Section of the Montana Highway Patrol is generating and distributing the following automated information reports for department use:

Driver License Subsystem and Driver Improvement Subsystem

1. (On Request). List of expired licenses with no update activity within past three years—license section (File Management - People on Floor).
2. (Weekly). List of records added to, deleted from, names changed on D/L file—data entry section (File Management).
3. (Monthly). List of records with driver improvement actions and ending period date—driver improvement section (File and Administrative Management).

Summons Subsystem

1. (Monthly). Individual Activity—Individual
2. (Monthly). District Activity—District Sergeant
3. (Monthly). District Activity With Division Summaries—Division
4. (Monthly). Outstanding summons by Division—Division
5. (Monthly). Highway Patrol Activity—Time Distribution—Headquarters
6. (Monthly). Personnel Leave and Days Off—Headquarters
7. (Monthly). Statewide Warning Activity Summary—Headquarters
8. (Monthly). Statewide Accident Activity Summary—Headquarters
9. (Monthly). Statewide Summons Activity Summary—Headquarters

Accident Records Subsystem

The accident records subsystem is one of the data files in the total bank system of ITRS. The information in the accident file is obtained from the records of motor vehicle accidents submitted by law enforcement agencies at the state, county, and local level. Information can be recalled upon request and it can be used to produce statistical reports required at all levels of government. Standard output of the system is listed as follows:

LIST

(An output list that tabulates data elements recorded on the original accident report.)

COUNT-ACCIDENTS

(An output summary for reporting accident totals by fatal and injury type.)

SUM-BY-DAY-&-TIME

(An output summary giving total and fatal accidents by day and time of occurrence.)

SUM-BY-CONTR-CIRC

(An output summary giving totals of accidents according to their contributing circumstances.)

FORM-16

(An output summary of the National Safety Council's Form 16 report.)

SUM-BY-TRAFFICWAY

(An output summary giving totals of accidents by 41 different categories according to class of trafficway.)

MOTORCYCLE-SUMMARY

(An output summary giving totals of motorcycle accidents for 23 different categories.)

LIST-FA-ACC-DIREC

(An output list of accidents along a system or route or portion of a route by a milepoint location.)

BUILD-GRID-TABLE

(A method of submitting data to locate intersections by coordinates in a city.)

LIST-GRID-TABLE

(An output list of intersections and their coordinates for a city or cities.)

HIGH-ACC-INSECTNS

(An output list of accidents by their urban intersection location according to the frequency of occurrence.)

RURAL-ACC-CLUSTERS

(An output of accidents listed by rural cluster location.)

RURAL-ACC-ANALYSIS

(An output list of accidents in a rural cluster for analysis purposes.)

SUM-BY-INTERSECTIONS

(An out put list of accidents by their urban intersection location with several options.)

Analysis of Current and Projected Requirements

While the Montana Highway Patrol is primarily concerned with enforcement of traffic regulations on public roads and state highways, it has statutory authorization to make arrests for the following offenses if committed in the presence of the Highway Patrol supervisor or any patrolman:

1. Committed in a rural district, upon the request of a peace officer;
2. Or committed in a city or town of less than 2,500 inhabitants, upon the request of any peace officer or the mayor of the city or town;
3. Deliberate homicide, assault with a deadly weapon, arson, criminal mischief, burglary, theft, kidnapping, illegal transportation of narcotics, or violation of the Dyer Act regarding the transportation of stolen automobiles.

Patrolmen are sworn law enforcement officers empowered to make arrests for offenses occurring on highways, for the wrongful use or registration of motor vehicles, and for the purpose of serving warrants in connection with such violations. The patrol also supervises and administers the licensing of drivers within the state and conducts a vigorous traffic safety program. They are specifically denied authority to make arrests or perform any duties in connection with labor disputes, strikes or boycotts.

We believe that the statutory authority of the Highway Patrol, although relegated primarily to the enforcement of traffic regulations, invariably involves officers in criminal arrests, crime reporting, recovery of stolen property, and other criminal incidents. For this reason it is mandatory that the department establish a centralized records system and a standardized reporting procedure so that these police activities are compiled and organized in an orderly fashion for easy interpretation. Their use in court by the officer is an absolute requirement whether he be an arresting officer or a witness. The department is obligated to accept responsibility for proper reporting, recording, and accounting for these police crime enforcement activities.

Police agencies should use current information technology to collect, process, and disseminate information. Current information techniques should be used, not only in the records-keeping and accounting applications, but also in the retrieval and display of police information for operational use.

From a technical standpoint, it is difficult to define precisely the projected information requirements of a Highway Patrol automated information system without first establishing a centralized records system. Before implementation of an information system can be achieved, procedures should be established requiring reporting of complete information to Highway Patrol headquarters. This reporting can start with the control and filing of all incidents reported to the Highway Patrol. At the minimum, reporting should include complete information on the persons and property involved in traffic, crimes or incidents. Reports on persons should include a wanted persons and warrant file, and a name index file. The property file can contain information on stolen and missing property, as well as recovered property. Other property files might include a motor vehicle license file, stolen license tag file, boat registration file, and other files similar to those included in the National Crime Information Center. Traffic files should include accident reports, traffic citations, and other traffic related incident reports. Motor vehicle registrations and registered motor vehicle drivers' files are already maintained by the Department.

Proposed Electronic Data Processing System

Determining the type of information a system will provide is contingent upon the availability of information in other systems. National systems must operate on a broader and more general plan than either local or state systems. A national information system (such as NCIC) must be geared to provide information that is interstate in nature and not affected by variations in state and local statutory requirements. To this extent, the national system can best offer the information currently provided by NCIC plus criminal history data, or at least indexing.

The National Crime Information Center (NCIC). The NCIC program was first developed through the efforts of the IACP's advisory group to the Committee on Uniform Crime Records. The program was established on an on-line basis in January 1967 at the FBI headquarters in Washington, D. C. Information is introduced into the system and inquiries are made through terminals located in police departments, sheriffs' offices, and state and federal law enforcement agencies throughout the United States. NCIC currently receives and stores the following information:

1. A Vehicle File. This file contains stolen vehicles, stolen vehicle parts and vehicles wanted in felonies.
2. A License Plate File. This file contains stolen or missing license plates.

3. A Gun File. This file contains serially numbered stolen, missing or recovered guns.
4. An Article File. This file contains individual serially numbered stolen articles, as well as consecutive serially numbered stolen articles.
5. A Wanted Person File. This file contains persons wanted for felonies or serious misdemeanors.
6. A Securities File. This file contains serially numbered identifiable securities which are stolen, embezzled, counterfeited or missing.
7. A Stolen Boat File. This file contains stolen boats with identifying serial numbers.

State systems can handle much of the needed information that is not provided by the NCIC. Regional and local systems should handle local warrants and management information that affect local agencies and their individual crime problems.

Some of the state and local information systems duplicate information stored by NCIC—such as stolen vehicles and wanted persons. Others are coordinated to provide services not otherwise available. The design of an information system, whether local or regional, should be guided by the immediate needs of the agency or agencies. Factors such as entry criteria and response time are the basic considerations in determining the type of information to be stored.

This survey presents many recommendations concerning the desirability of a stronger centralized information management system within the Montana Highway Patrol. Particular attention has been directed toward preparing the Highway Patrol to meet future law enforcement needs. Our recommendation concerning the improvement of the present information system is directly related to, and dependent upon, the establishment of a central police records system. The utilization of information technology will be required to prevent the Highway Patrol from becoming overwhelmed by the volume of paperwork involved in a central records system. The objectives of our recommendations are to strengthen the administrative capability of the Highway Patrol in meeting its responsibilities as the state's major law enforcement agency.

Traffic safety and enforcement should be considered a major function of the police information system. This function does not fit precisely within the parameters of a criminal justice information system; however, it is considered an essential part of the Highway Patrol operational effort. Drivers' license and motor vehicle registration data are standard identification tools in a police application. The Montana Highway Patrol should have on-line access to this information.

As a first step, we recommend that a number of additional files be developed, maintained and controlled at the headquarters level. These files should include information or complaints, crimes and related incidents, stolen property, arrest data and warrants. This information is in addition to that already maintained or projected in ITRS. These new files should be installed as soon as possible.

As the total police information system is developed, the design emphasis will shift from operational or criminal justice oriented systems to management support information. These applications include not only statistical reporting from the operational files, but also analytical data used to support management decisions. Specific reports can range from determination of vehicle maintenance reliability to the allocation and distribution of manpower. The priority of effort in the development of these systems should be determined by the Highway Patrol management staff. Every effort should be made to design a police information system that will provide management support to the Highway Patrol.

We propose that efforts be made to continue implementation of all subsystems and each of their sub-elements of the Montana Integrated Traffic Records System (ITRS). We also propose that efforts be made to implement the Montana Comprehensive Data System as planned. In the interim, we propose that the Montana Highway Patrol develop a centralized information management system as we have discussed previously and when operating efficiently, expand the level of computer utilization within the Highway Patrol to accommodate the increased processing needs of the recommended centralized records system and the administrative needs of the headquarters management.

Under a Law Enforcement Assistance Administration grant, awarded to the California Crime Technological Research Foundation, Project SEARCH Standardized Crime Reporting System Committee published the design of a Standardized Crime Reporting System which is endorsed by the IACP.¹

In the process of gathering data for the study, 161 completed questionnaires were received from law enforcement agencies, 18 from prosecution, 64 from probation, and 24 from city/county managers. On site surveys were conducted in 3 cities of 25,000 or under population, 3 cities in 26,000-150,000 population, 4 cities in 151,000-500,000 population, and 3 cities in over 500,000 population groups. Crime/event information requirements were then developed for law enforcement, prosecution, probation and parole, and a grouping of planning, research administration functions. The surveys identified these as the agencies that directly use data from a crime report. The court and correction functions were found not to use crime/event information directly from the report form. The data they receive has been processed by another agency (usually prosecution or probation).

¹Project SEARCH Standardized Crime Reporting System Project Committee, Technical Report No. 9: Design of a Standardized Crime Reporting System, December 1973, performed under LEAA Grant No. 72-SS-99-3001 to California Crime Technical Research Foundation for Project SEARCH.

By completing a form for every information requirement identified within a function or process, a systematic and exhaustive approach to data needs was established. For each information requirement associated with a function or process, the use of that information was identified. The requirements were then organized into a function or process matrix portraying the relationship between the information requirement and its use within the processes.

IACP recommends the adoption of the SEARCH Standardized Crime Reporting System by the Montana Highway Patrol. An outline of the proposed system is included below.

Standardized crime reporting in the proposed Centralized Records System is composed of an integration of three basic functions of a total crime/event information system. These functions are: (1) data capture, (2) report/data management and control, and (3) data utilization.

Data capture is accomplished by means of four (4) prototype standardized crime reporting forms (See Chart 7.1). The four report forms are:

- Complaint/dispatch report form
- Crime/event report form
- Follow-up investigation report form
- Arrest report form

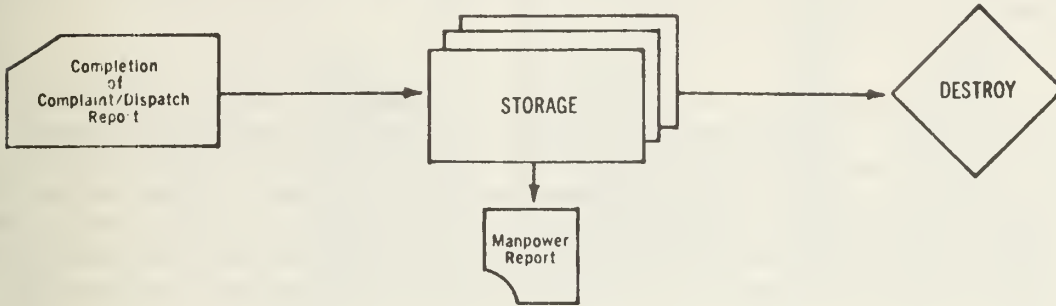
These forms are designed to capture information and provide linking of the reports from all phases of a law enforcement agency's activity relating to an event. These activities begin with the receipt of a complaint or request for service, extend through dispatching, initial case preparation, follow-up investigation, and apprehension. Each time a document is prepared, sufficient information must be recorded to identify the original event and the disposition or transmittal of the document to the next step.

The forms must be accompanied by a very detailed report writing manual which provides detailed instructions on how to complete the form. The manual should contain appropriate formats for completing various portions of the narrative part of the form.

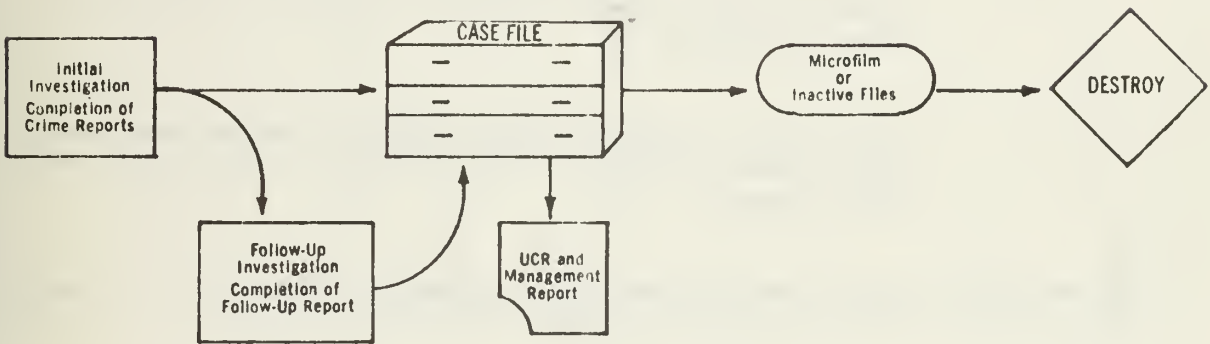
Implementation of the standardized crime reporting system is accomplished through systems design of three functional modules. These are a data capture module, a report management and control module, and a data utilization module. These three modules are specified because an effective crime reporting system cannot operate without specific objectives and procedures for the collection, control, storage, and utilization of

GENERAL SCHEMATIC OF THREE MOST COMMONLY FOUND DATA COLLECTION EFFORTS

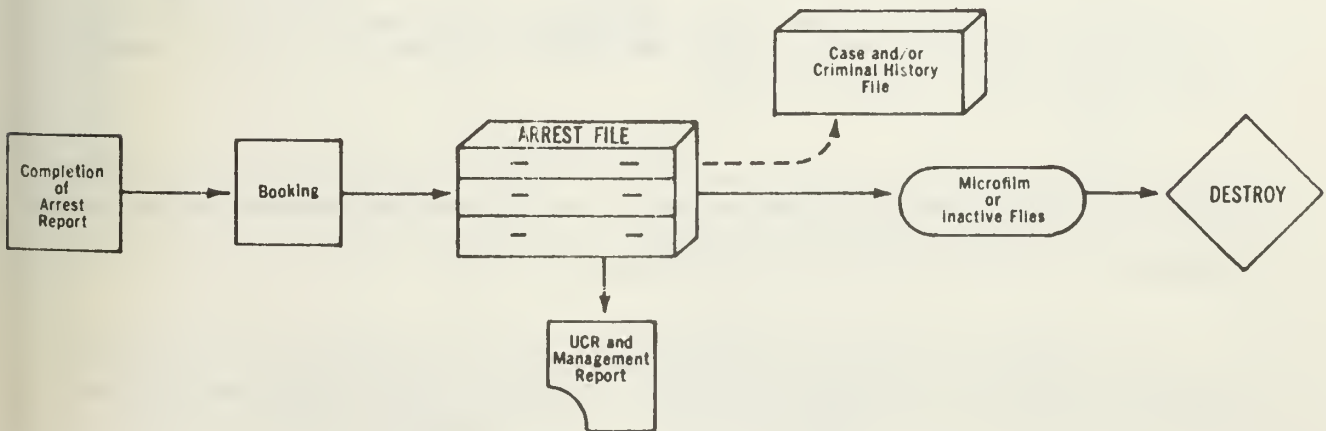
COMPLAINT/DISPATCH



CRIME REPORTS



ARREST REPORTS



data. It is the use of data which justifies the existence of the entire reporting system and is the basis for this system design.

The general relationship of the three modules is portrayed in Chart 7.2. The data capture module serves as a data collection center. Reports are prepared covering data in two general areas: events and police response. The report writing module then feeds reports into the report management and control module. In this module, reports are reviewed and edited for quality control, distributed, processed and stored in files. File access procedures and indexing are part of the module. The management and control module serves as the repository of data which is then available for use in the data utilization module. Three general uses of data are:

- Operational uses such as field investigations, tactical strategy, prosecution, probation, etc.
- Law enforcement management, which includes crime analysis, monitoring of case status, manpower allocation, equipment utilization and statistics.
- Transmission of data to regional, state and national data bases. This includes UCR, CCH, wants/warrants, stolen vehicles, and stolen property.

A conceptual diagram depicting data flow is presented in Chart 7.3. The exhibit shows six different reports originating in the report writing module.

The exhibit also shows various steps in the processing of reports until they are entered into files. In general, the steps include review and quality control of the reports, data reduction (extraction of data from reports for inclusion in summaries, statistical reports, data processing files, etc.), and file maintenance and update.

Two files are indicated: a police activity file and an event/case file. Files are accessed through an indexing system which should include indices for persons, location, property, crime type, and event number.

The data utilization module is shown as the three crime report processing tasks of the system: (1) the presentation of information for law enforcement management purposes, (2) the processing of reports and report data for operational purposes, and (3) the dissemination of reports and data to external agencies.

Data Capture Module. The data capture module follows closely the police response and activities caused by the initiation of an event. These police activities are depicted in Chart 7.4, which shows the steps in the building of a case file. The

CONCEPTUAL RELATIONSHIPS OF DATA SYSTEMS MODULES

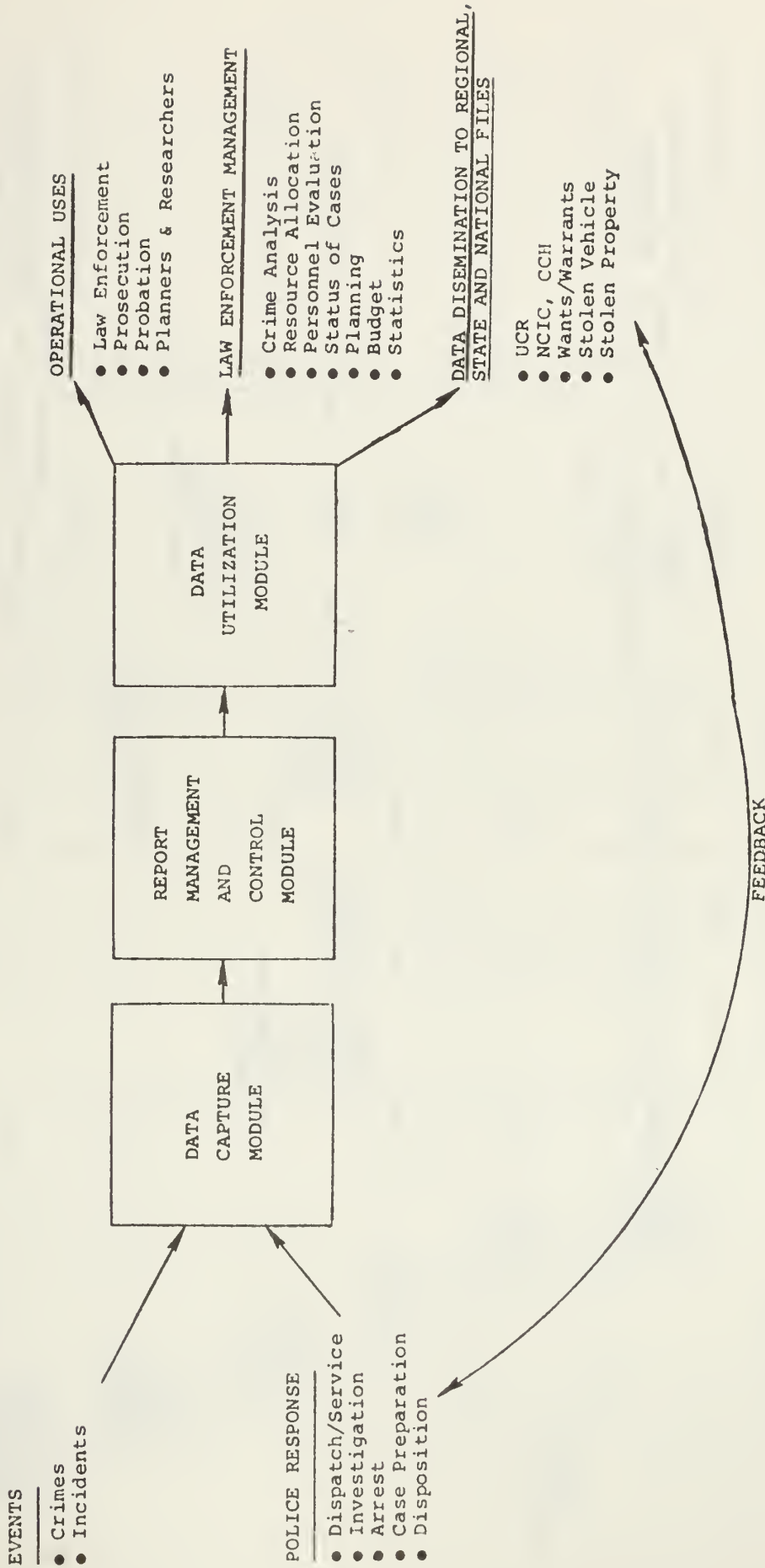
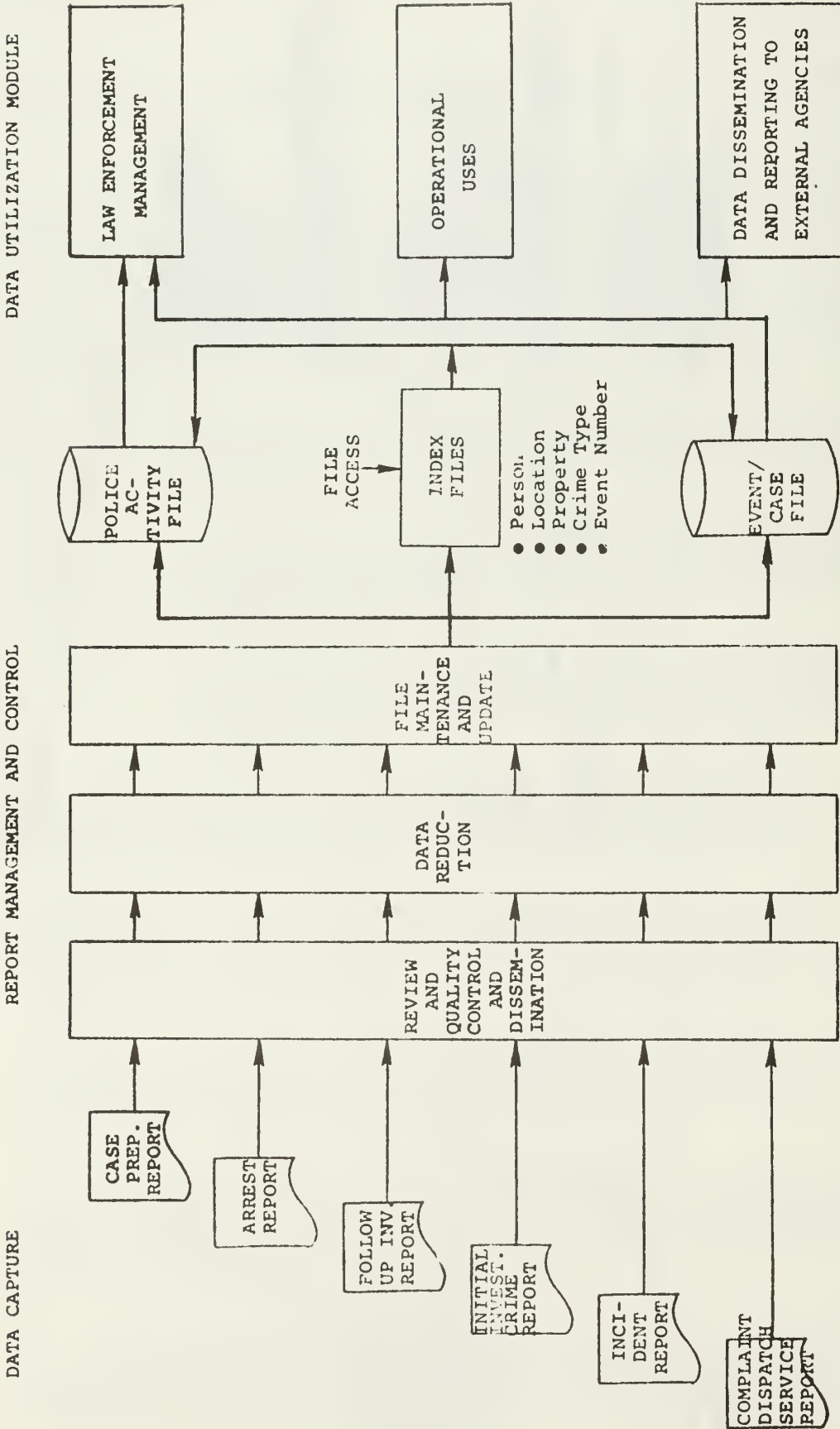
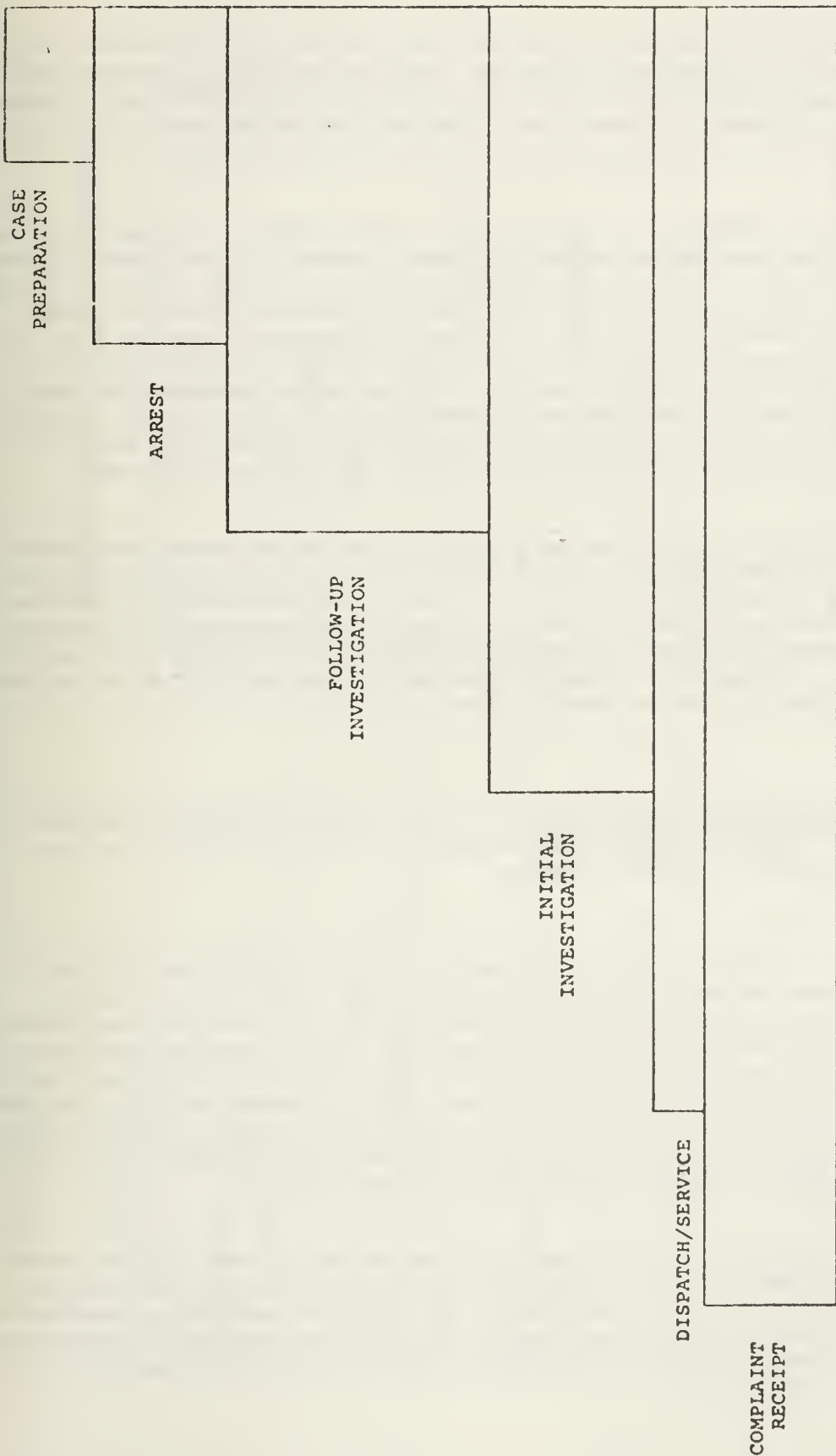


CHART 7.3

STANDARDIZED CRIME REPORTING SYSTEM DATA FLOW





initiating event is the receipt of a complaint from the public or an incident that has otherwise come to the attention of the police. The first step in data collection is the recording of the public initiated calls for service, or police observation on a complaint/dispatch card. Dispatch, response, and service data are also the initial report to the police activity file, as it contains officer activities and response time.'

If the event is not resolved by the initial police response, then an investigation process is initiated. This investigation process is followed, hopefully, by an arrest and case preparation for court. Whatever the actual procedure for a specific case, the reporting system must be capable of compiling and linking all information related to a single event. That is, when an officer begins a follow-up investigation, he should have all the pertinent information available (i. e., the dispatch card, the initial investigation, the initial crime report, etc.) from previous police activities concerning the event. The information should be compiled and organized in an orderly fashion for easy interpretation. Reports compiled in this way also facilitate the writing of the next report in the cycle. Previously recorded information does not have to be duplicated.

Unlike event oriented reports, reports on police activity can be readily standardized for each type of police activity. Certain minimum data elements are recorded each time. Chart 7.5 illustrates this concept. In order to insure the effective utilization of police manpower and monitor the responsiveness of the department, the indicated minimum data elements must be collected. These data elements include date and time of occurrence, response time, consumed time, number and type of personnel involved, the activity of the police and the event disposition.

Report Management and Control Module. The most important aspects of the report management and control module are the quality control procedures, file structure, storage medium, and file indexing system.

Quality control is certainly a key issue. Quality control begins with the recording of correct, complete and concise data. Whenever possible, data should be verified through independent sources (supervisors, report review, etc.) and a concerted effort is made to assure that the data collected on events is correct, complete and concise. Similarly, both the reporting about the event and reporting related to subsequent police response to this event should be capable of being audited to assure integrity of the data. Attention to the quality of reports must begin with the initial receipt of the information in the complaint operation, and must be carried through the preliminary investigation, follow-up investigations, case preparation and related activities.

The first level of review is a field supervisor's review and approval of a subordinate's reports. This activity is seldom a sufficient quality control review of the reporting process. Each report should be reviewed for completeness, legibility, inconsistencies, follow-up requirements, event classification, etc. The line supervisor is usually too busy with other tasks to carry out an adequate report review, so this function should be assigned to a staff position.

ACTIVITIES

DISPATCH

RESPONSE

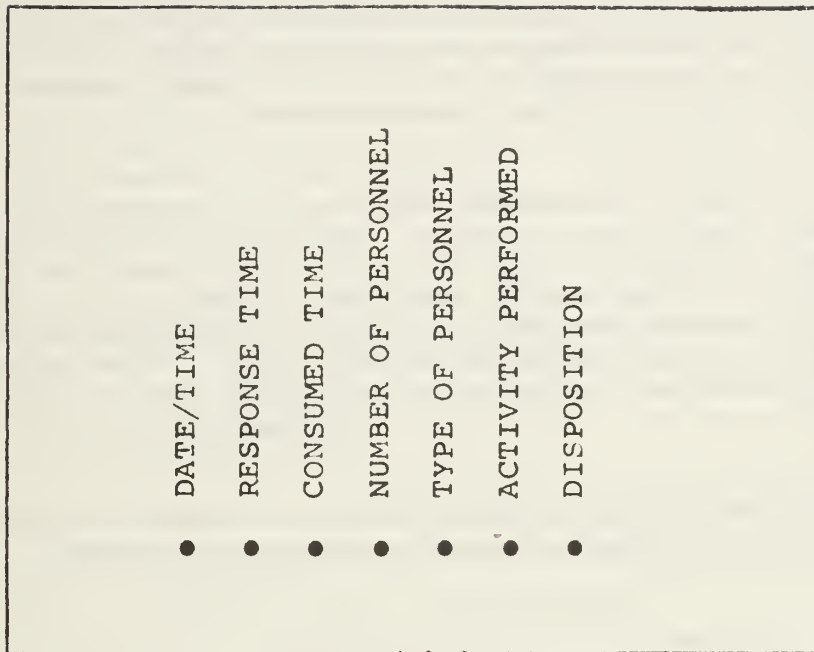
INITIAL INVESTIGATION

FOLLOW-UP INVESTIGATION

ARREST

CASE PREPARATION

POLICE ACTIVITY DATA ELEMENTS



The final level of reporting system quality control is the audit process. An audit periodically takes selected events and retraces their associated activities from the receipt of the call for service to final event disposition. The audit is to verify the event and the action of the law enforcement agency as reported. This audit should not only investigate the reporting accuracy of the field officer, but also investigate report review, report dissemination, storage and retrieval processes, security and privacy and all aspects of the crime reporting system.

The system file structure has been discussed earlier. Two types of files are maintained: an event/case file and a police activity file. The police activity file is mainly for management information, specifically manpower allocation. The event/case file contains all crime reports and any other records which relate specifically to a certain event. The storage medium for the files depends upon whether or not a particular system is automated. Various degrees of automation may be feasible. It is not appropriate to describe storage media here, but they should be of central concern to those considering the report management and control module of a system.

The number or type of file indices depend to a degree on whether or not the system is automated. The following indices should be considered for inclusion:

- Persons
- Location
- Property
- Crime Type
- Event Number

Data Utilization Module. The data utilization module is that process which assures that those individuals, units or agencies having a need for crime report data receive it in a timely and effective manner. The thrust of the standardized crime reporting system is to define the information requirements of these individuals, units, and agencies (and/or functions) by determining how the crime report data is used. In some instances, this use may be to measure the effectiveness of the police system's response to calls for service. In others, it will be to successfully prosecute the perpetrator of a crime. In order to develop a comprehensive crime reporting system, utilization of the crime data must be considered as the basis for the system's design.

Data utilization should be viewed as three sub-processes: (1) operational uses, (2) law enforcement management uses, and (3) data transfer to other data bases (usually other criminal justice information systems).

The operational use process involves those criminal justice agencies that use crime report data to directly effect their operating functions. These agencies include law enforcement, prosecution, probation and criminal justice planners and researchers. Many operational areas within law enforcement are directly affected by crime report data. The most obvious are the patrol operation response to citizen complaints and follow-up investigations. Each of these is in direct response to crime report data. Other areas include tactical planning, undercover investigations, etc. Prosecution, probation and planners and researchers also use crime data directly. This includes the definition of the elements of a case, evaluation of a case, evaluation of the incarceration/release/rehabilitation aspects of the accused, and developing plans and programs.

Operational uses forming the basis of the data elements list are presented as follows:

A. Event Organization Uses

1. Determine jurisdictional/functional responsibility
2. Determine required police response
3. Identify persons to contact
4. Identify location of event
5. Identify police response provided and the outcome

B. Initial Investigation Uses

1. Determine the nature of the event and data to support or direct subsequent police action
2. Aid the development of the case for prosecution
3. Identify and, if possible, apprehend the perpetrator
4. Aid in the recovery of stolen or lost property
5. Assist in the deployment of resources and evaluation of police strategies and tactics

C. Arrest Process Uses

1. Determine arrest authority and legality
2. Identify the risk potential (to officer, public, suspect)
3. Document the facts of arrest for the prosecution process
4. Make positive identification of person arrested
5. Aid in determining subsequent actions and dispositions

D. Prosecution Process Uses

1. Identify elements of crime
2. Aid in filing decision
3. Determine victim status
4. Determine witness status
5. Determine offender status
6. Determine evidence status

E. Probation Process Uses

1. Establish identification and history of offender
2. Develop a complete description of event
3. Assist in making recommendations to court
4. Establish identification and relationships of victim/witnesses

F. Planning Process Uses

1. Determine resource needs
2. Develop crime reduction and action programs
3. Evaluate operational programs
4. Evaluate agency planning process
5. Define offender profiles

Law enforcement management uses of crime report data are many fold. They include crime analysis, resource allocation, crime prevention/crime specific planning, personnel evaluation, case status, operational planning, budget considerations and statistics. Two of the more important needs are crime analysis and manpower allocation.

Crime analysis begins with the basic need within a law enforcement agency for periodic statistical summarization of crime activity in at least three minimum dimensions: (1) the area of occurrence, (2) the time of occurrence, and (3) the offense category. As part of the periodic executing of management information, crime analysis should produce these basic statistical descriptions of crime for the appropriate jurisdictional subdivisions corresponding to the responsibilities in the departmental chain of command.

Another internal need is for the capability of producing, on request, geographic or other distributions of selected offense data for crime analysis. With the existence of a geographical coding system, it is possible to generate crime distributions (an an overlay matched to a map presentation of the area of concern). When other data are available to correlate with crime data, the analyst can begin to identify patterns and trends for use by investigative and patrol units. The area covered on one report could represent a beat, a census tract, or any other predicted predefined area. In addition, a report could be generated for assaults between strangers, sex crimes, or any other describable group of characteristics.

Effective manpower allocation depends on the type of data collected by the report and record system. Resources should be allocated in the field based on the current and anticipated "workload." Workload is defined as the amount of police services required as a function of hour of the day, day of the week, or geographical area. Manpower allocation should produce reports designed to assist in patrol and beat manpower assignment decision-making.

Patrol resource allocation goes beyond decisions such as how many patrol cars should

be in the field at a given hour of the day on a given day of the week. It also encompasses decisions as to when a patrol car should be dispatched from one beat to a call for service in another beat and how many floating patrols there should be, if indeed there should be any, and in what areas of the territory they should be assigned. The patrol resource allocation function could be designed to provide information leading to these decisions.

A primary impact of the data utilization module is in the preparation of data to be transmitted to external data bases such as UCR, NCIC, and Computerized Criminal History Systems. The form required for this data is usually adequately specified by the various agencies controlling the systems. The reporting system must insure that the data prepared for this purpose will meet these specifications. Data must also be provided for state and local wants/warrants, stolen vehicle, stolen property, etc., systems.

Recommendations

1. Expand the level of computer utilization within the Montana Highway Patrol to accommodate the increased information processing needs of the recommended centralized records system and the administrative needs of the headquarters management.
2. Continue to plan for complete implementation of the Montana Integrated Traffic Records System (ITRS).
3. Continue to plan for complete implementation of the Montana Comprehensive Data System.
4. Develop, in the interim, a centralized information management system and when operating efficiently, expand the level of computer utilization within the Highway Patrol to accommodate the increased needs of the recommended centralized records system and the implementation needs of the headquarters management as discussed in the text.
5. Utilize the SEARCH Standardized Reporting System as a guide to the development of an improved centralized information management system. Implement those portions of the system applicable to a Highway Patrol operation.

VIII

COMMUNICATIONS

A law enforcement communications system provides the essential services for communications between the department and the citizens it serves with other police agencies. It also provides continual contact between and among members of a department for purposes of coordination and the exchange of information. Any system which does not provide adequate services in these areas profoundly limits effectiveness.

The fundamental elements which comprise a police telecommunications system are:

- A telephone system for use by a citizen or a police officer to reach the department for assistance or the exchange of information.
- A radio system affording officers instantaneous and/or constant contact with the base station or other police departments.
- Equipment permitting the exchange of data and other information within the department or with other agencies, including such devices as computer terminal, teletypewriter, landline, and wire facilities.

When combined with well-trained, efficient operating personnel, these elements provide an effective and flexible system.

An effective radio telecommunications system must transfer information quickly, clearly and without distortion. It must also be reliable and flexible in that it should consist of good equipment and have good methods of operation. An occasional evaluation of the police telecommunications system is necessary for identifying existing and potential sources of difficulty within the system. An evaluation should be geared to answering the following questions:

1. Is the system adequate for the department's present needs?
2. Where are the problems located and what can be done to correct them?

3. Will the existing system be adequate for the future needs of the department?

A police telecommunications system consists of three components:

- Frequencies, network structures, and message flow
- Equipment
- The personnel who operate and use it

The communications industry has recently experienced a tremendous technological expansion. Much of this progress has been spurred by military necessity beginning with World War II and continuing with the space age progression. There has been continuing acceleration of this expansion as electronic development has been utilized also by related industries for their own gains. Today, communications technology is a giant having unlimited possibilities for assisting law enforcement in a myriad of ways.

Section 1 - Present Communications Organization and Systems

Communications service is provided to the Montana Highway Patrol through a headquarters communications section and separate communications units located in each of the present field division headquarters.

The headquarters communications section is staffed with 1 supervisor (dispatcher, radio III), 4 dispatchers, radio I's, and 1 receptionist III who is assigned to and operates the headquarters telephone switchboard.

Division I - Missoula has 1 dispatcher, radio I assigned. An administrative aide I assists with dispatching as needed in addition to his other duties.

Division II - Great Falls has 1 dispatcher, radio I assigned. An administrative aide I assists with dispatching as needed in addition to her other duties.

Division III - Lewistown has no dispatcher assigned. An administrative aide I provides dispatching services in addition to her other duties.

Division IV - Glendive has no dispatcher assigned. An administrative aide I provides dispatching services in addition to her other duties.

Division V - Butte has 1 dispatcher, radio I assigned. An administrative aide I assists with dispatching as needed in addition to her other duties.

Division VI - Billings has 1 dispatcher, radio I assigned. An administrative aide I and a general office clerk II assists with dispatching as needed in addition to their other duties.

Inventory of Radio Communications System

1. 147,138 square miles within their jurisdiction.
2. 700,000 people to protect.
3. 10 base radio stations.
4. 8 control stations.
5. 6 repeater stations.
6. 1 microwave link.
7. 250 mobile radio units.
8. 232 radar units.
9. Mobile access to 83 low-band base stations other than their own.
10. Mobile access to 8 low-band mobile relay stations.

Headquarters (Helena) Radio Dispatch System

1. Microwave link from Hustad Center in Helena to MacDonald Pass.
2. Base station on MacDonald Pass.
 - a. Rt 39,820 MHz and RT. 39.920 MHz.

- b. Access to mobile units in Helena area.
 - c. Access to other law enforcement base stations in west central Montana.
3. Control station on MacDonald Pass.
- a. Rt 39,960 MHz and T 39,560 MHz.
 - b. Tone frequencies 146.2, 151.4, 156.7, 162.2 and 167.9 Hz.
 - c. Access to following mobile relay stations: Patrick's Know in Sanders County, Eaglehead Mountain in Gallatin County, Porphyry Peak in Cascade County, Mount Maurer in Beaverhead County and Baldy Mountain in Madison County.
4. Control station on MacDonald Pass.
- a. Rt 154.665, RT 154.815, RT 154.920, and T159.210 MHz.
 - b. Tone frequencies 1650, 1800, 1950, 2100, 2250 and 2400 Hz.
 - c. Access to dispatchers at Butte, Great Falls, Lewistown and Missoula via high-band link without keying low-band transmitters.
 - d. Access to following low-band base stations: Butte in Silver Bow county, Missoula in Missoula County, and Geraldine in Chouteau County.
 - e. Missoula base can, in turn, contact the Kalispell station and the Geraldine base can, in turn, contact the Billings station.
 - f. The Glendive stations are the only ones at a District Headquarters that are out of range of radio relay contact with Helena. Land-line control of a Glendive station from Helena is being investigated.
 - g. NCIC access through the Montana Law Enforcement Teletype System.

See Map 8.1 for complete functional system diagram of present radio dispatch system.

Mobile Radio Units

1. Channel 1 in all 250 units RT 39.820 MHz.
2. Channel 2 in all 250 units RT 39.920 MHz.
3. Channel 3 in all 250 units RT 39.880 MHz.
4. Channel 4 in 200 units RT 39.860 MHz. Channel 4 in 50 units R39.960 MHz and T39.560 MHz.
5. Access to 93 base stations in Montana (including their own).
6. Potential contact with nearly 3000 other law enforcement mobile units.
7. Access to 8 mobile relay stations from 50 mobile units. (Note: A mobile unit near Mullan Pass, Idaho, can communicate with the Helena dispatcher).
8. Most of the radio equipment is less than 6 years old and was supplied mainly by Motorola and General Electric with some by RCA.

Telephone System

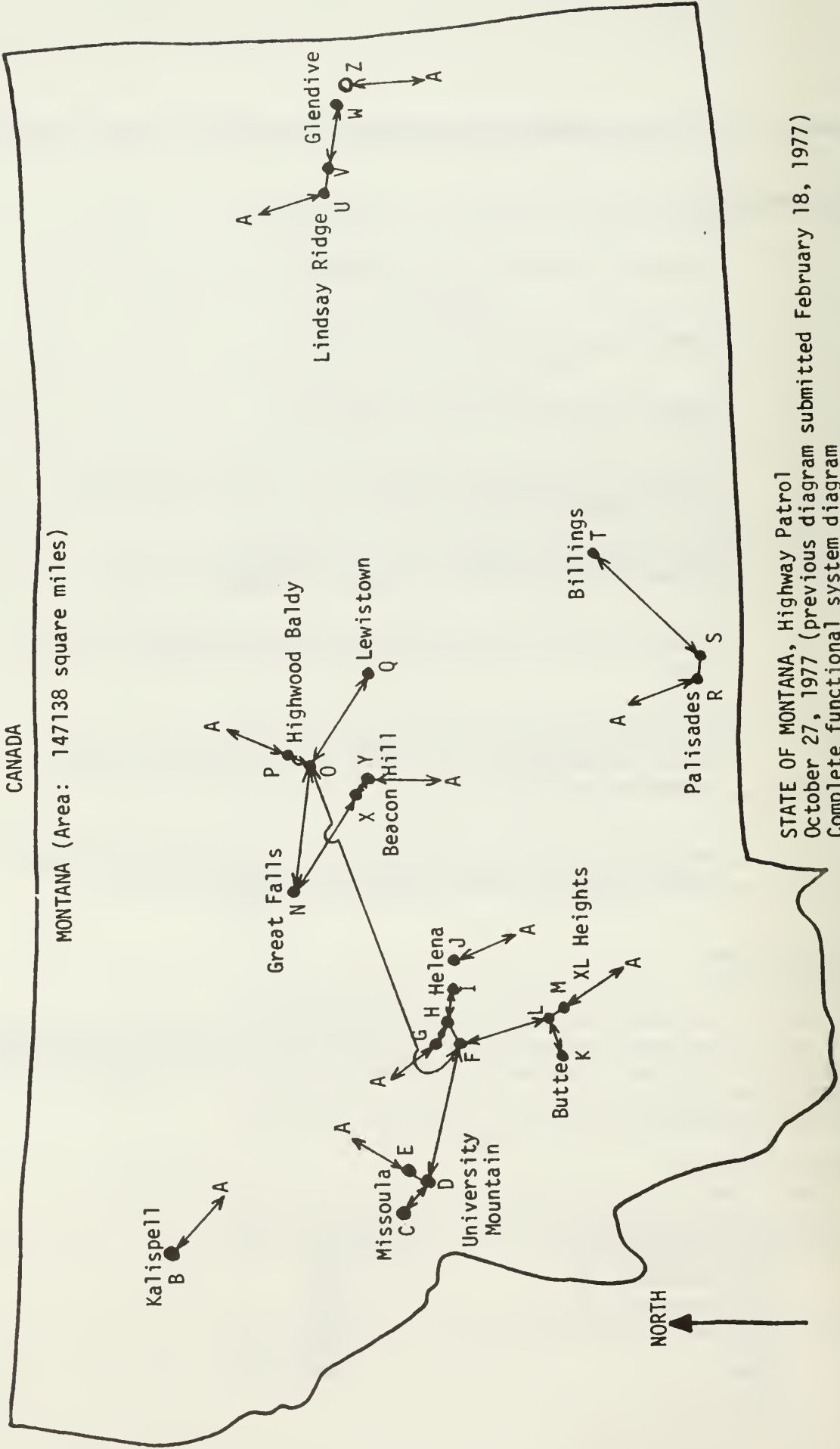
Listed below are the State Telephone System (STS) Access lines and the local business lines in patrol headquarters and field division offices. The STS lines have full capability of all tie lines connecting twelve cities in the state, full Montana WATS and Nationwide WATS facilities.

Headquarters Helena

449-3000 (incoming only)	449-3119
3001 (incoming only)	3199
3002 (incoming only)	3416
3003 (incoming only)	3680
2799	3705
2939	3827
3043	3978
3109	

Map 8.1

Complete Functional System Diagram
Present Radio Dispatch System



STATE OF MONTANA, Highway Patrol
October 27, 1977 (previous diagram submitted February 18, 1977)
Complete functional system diagram

DIVISION I

Missoula Patrol Office	543-6368	2 lines-rotary Buzzer on each set
	543-7766	5 6-button phones, 1 No-button set
	STS-125-4142	2 extensions 911 listing for Manual in- emergency - no charge tercom

DIVISION II

Great Falls Patrol Office	453-1121	453-0591 Intercom line
	452-9311	
	STS-124-24-26	Off Great Falls STS PBX

3 lines - not rotary
1 intercom - 453-0591
4 6-button phones
Cut off

DIVISION III

Lewistown Patrol Office	538-8718	
	538-8719	
	STS-122-2103	FX from Billings

2 lines - rotary	3 buzzers
4 6-button phones	2 hold features - lights, etc.
2 extensions	Manual intercom

DIVISION IV

Glendive Patrol Office WATS	365-5238	
	365-5239	

2 lines - not rotary	Can answer Police Department line
2 lights and hold feature	and vice versa
3 6-button sets	

DIVISION V

Butte Patrol Office 494-3233
494-3234 - Driver Licensing
Unlisted number for Sundays and after hours
STS Line - 123-382 off Mont. Tech. PBX
Intercom line

2 lines - no rotary
6 6-button phones
4 extensions
hold features on 3 lines

DIVISION VI

Billings Patrol Office 245-6193
245-6194
STS-122-2357
-2202

2 lines - rotary
4 6-button phones
4 buzzers
Manual intercom
2 extensions
Lights, etc., on each line
Total charge

Section 2 - Analysis of Present Communications System

With the exception of the assistant chief, no one staff officer or staff section at headquarters has been officially given the responsibility for staff supervision and control over all electronic communications systems utilized by the department (including field communications centers) to insure that they are operating in a standard manner and at maximum effectiveness. This lack of a staff supervisory assignment over the total communications function has led to variations in operating standards and procedures in each of the seven radio communication centers. With the exception of a very brief order on radios, S8-6 and S8-7 of the Department Operations Manual, the department has not published standards and specific operating instructions on the care and use of the various entities of their departmental communications systems. As a result of these deficiencies, numerous violations of FCC operating rules and procedures were noted. One obvious deficiency noted was that field officers did not routinely go in service and out of service, and radio dispatchers did not keep track of cars in service and cars out of service.

With the exception of the headquarters communications section, none of the field division radio communication centers is operational 24 hours a day. By prior agreement, local sheriffs and/or city police agencies receive complaints and dispatch highway patrol units during those periods when field division communications centers are closed or non-operational.

The headquarters communications section supplements Division V and Division II for telephone complaints and radio dispatchers. In the near future, it is planned that a third division will be picked up for control each day after the field division communications centers go out of service. The headquarters telephone switchboard is also switched to the headquarters communications section after normal duty hours (5:00 pm - 8:00 am).

The headquarters communications section operates a LETS terminal with reader printer and is on-line to NCIC and pertinent data banks of the state. LETS terminals are operational in each of the six field division communication centers.

Some 30 or so CB radios have been issued to patrol officers throughout the state; other officers have purchased personal CB radios for their patrol vehicles. There is a CB base station in the headquarters communications section and in each field division communications center; however, it was noted that they are not being monitored full time. By the same token, no national REACT monitoring system was noted.

The headquarters communications section does operate a local disaster call-out program for civil defense, but they have no hotline telephone into the system.

Section 3 - Proposed Communications System

Communications is of prime importance to the Montana Highway Patrol because of the vast and rugged terrain over which the department must operate. The geographical terrain of the state has also presented the radio engineer with challenging distances to cover and high peaks upon which effective communications stations must be constructed.

Proposed Organization

In the organization and span of control chapter of this report, we have recommended the organization of a new Communications Services Section to be headed by a communications technician supervisor who will report directly to the commander of the Technical Services Bureau. This section should exercise staff supervision and control over all electronic communications systems utilized by the department, including field district communications centers, and insure that they are operating in accordance with prescribed departmental standards and are achieving maximum effectiveness. This section should process and approve all requests for the purchase, rental, installation or alteration of all radio, telephonic and other landline types of communications equipment utilized by the

department.

The Communications Services Section should be responsible for the development and updating of standardized communications procedures involving both normal operational guidelines and emergency procedures. Further, the section should be responsible for maintaining operational control over the communications equipment operators (police services technicians) assigned to the field districts. (Administrative control would be maintained by the respective district commanders). Special attention should be directed toward coordinating the department's training effort for recruits and communications equipment operators (police services technicians). The section should also assist the Technical Services Bureau commander in the preparation of budget programs and other administrative matters.

In addition to its general staff responsibilities over all department communications systems, this section will continue to operate the headquarters communications center and will receive, process, dispatch or message switch requests for service or information from Montana Highway Patrol officers or other departments, whether by telephone, radio, teletype, or computer terminal and will perform other related duties as required.

As noted in the manpower allocation and distribution chapter of this report, we have recommended that the Communications Services Section be staffed with a communications technician supervisor and five police services technicians for a continuous 24-hour a day operation. We have further recommended that each communications center in the proposed five new field district headquarters be staffed initially with four police service technicians to provide for continuous 24-hour a day operation. The administrative aides in each district headquarters would supplement dispatching on the day shift as needed. We have also recommended that one police services technician be assigned under each lieutenant, post commander, when post headquarters offices are established.

The IACP strongly recommends that each patrol district headquarters be manned by one police services technician 24 hours a day to answer telephone, radio, and walk-in complaints for the Highway Patrol and to provide dispatching services as needed. This is an absolute necessity if the Montana Highway Patrol is ever to attain self-sufficiency and it is an unquestioned responsibility that the Highway Patrol owes to the citizens of the state of Montana. Under present conditions, there are many hours of the day in different parts of the state wherein a citizen cannot contact a Highway Patrol officer. Such a system must be highly frustrating to a Montana resident and even more so to a non-resident travelling through or visiting within the state.

It is expected that the police services technicians assigned to each patrol district headquarters will perform much of the administrative work of the headquarters, especially during the second and third shifts.

We have further recommended that at least one highway patrol officer be on road duty

assignment in each field patrol district - 24 hours a day, 7 days a week. Further details regarding this recommendation are contained in the uniformed patrol operations chapter of this report. This recommendation is a further attempt to provide self-sufficiency for the Montana Highway Patrol.

Proposed Radio System

A state plan for Montana law enforcement communications was developed by Systems Science Development Corporation (SSDC) of Silver Spring, Maryland in 1970. The Electronic Research Laboratory (ERL), Montana State University, Bozeman, Montana, subsequently modified the plan several times to accommodate new demands and changes in philosophy. The Communications Division of the Montana Department of Administration, Helena, Montana, with the assistance of the Montana Board of Crime Control made further modifications of the Communications Plan.

The five-region concept, developed by SSDC, was reduced to three regions by ERL in 1971 and further reduced to a statewide system in 1973 with no regional boundaries. Mobile relay stations were added in 1973.

Frequency assignment plans were also approved by the Montana Board of Crime Control, the Federal Communications Commission and the Canadian Department of Transport.

Continuity of effort has been maintained mainly through one individual who has been with the project continuously since October 1970, first with the Electronics Research Laboratory and later with the Communications Division of the Montana Department of Administration. Engineering assistance has been provided in implementing and maintaining the Montana State Communications Plan as follows:

1. Technical services to state and local agencies in planning, designing, procuring and operation of communications facilities and equipment.
2. Review of all applications for financial assistance for communications equipment by state and local agencies.
3. Frequency coordination and FCC licensing.

IACP staff members have reviewed the Communications Plan Study reports and in concept approves the Law Enforcement Communications Plan. Since the plan has been professionally developed and appears to be sound and feasible, it should be implemented to save the time and money spent on its development. The plan has also taken into account suitability and use of existing communications equipment and has planned for improved equipment where needed.

To afford readers of this report recognition of the concepts of the Montana Law Enforcement Communications Plan, a brief review of the plan is included herein.

System Goals

To alleviate the problem of overloaded radio channels and to insure that every law enforcement patrolman has the capability to communicate with his base station, the following goals of the system were enumerated:

1. No law enforcement agency should operate on an overloaded radio channel (39.82 MHz must be unloaded).
2. Any law enforcement agency should be able to communicate with its neighbors. (In the case of large cities and counties, this can be by teletype.)
3. An isolated car traversing the state should be able to communicate with a base station at all times.
4. In case of emergency (e.g., loss of all ground line communications), messages can be transported to any point in the state via law enforcement agencies, without seriously jeopardizing local law enforcement communications (i.e., one frequency for this).
5. A patrol operating in a region should be able to communicate with the local law enforcement agencies without loading the emergency frequency.
6. Every law enforcement agency in the state should be able to communicate to a teletype station without relaying messages.

Natural Boundaries

In eastern Montana, most base stations can communicate to another base station that is within a radius of 100 to occasionally 180 miles. With few exceptions, a county sheriff's office can communicate with all of its neighboring county sheriff's offices. The exceptions are generally caused by land topology problems (a range of mountains or hills or antennas in low places). In northeastern Montana, traffic on 39.82 MHz (state frequency) was coming in from Williston, North Dakota. There seemed to be no traffic due to Canadian use of the 39.82 MHz channel and little Wyoming use.

In western Montana, it was found that the radio propagation is affected by certain mountain ranges, so that no longer could the term "radius of coverage" be used. In fact, numerous adjacent counties cannot communicate due to mountains between the two stations. There are certain mountain regions which are so extensive that they produce natural boundaries for the radio communications. An example of this is the Glacier Park-Bib Marshall Wilderness Area which separates the northwest corner of the state from the north-central. The mountains around Missoula tend to separate the northwest corner from the southwest corner of the state. Distance, of course, also tends to separate all of the different areas. The southwest corner of the state is separated from the south-central area by the Bridger Mountains, just east of Bozeman. The south-central part of the state tends to be isolated from the north-central part of the state by the Big and Little Belt Mountains (and again, distance). There are no topological separators in the eastern part of the state, but the population density is not uniform in the area. The population density is fairly high along Highway #2 in the north and Highway #10 in the south. These two roads approach each other in the Glendive, Aidney, Wolf Point, Williston area. The population density of this area is quite high. Later it will be shown that there is overcrowding on the 39.82 MHz channel in this area. (Map 8.2 illustrates natural boundaries identified in the communications study report.)

Regions of Channel Overcrowding

There are significant areas within the state where the traffic on 39.82 MHz is overcrowded. The overcrowding has been severe enough in some areas that certain counties and police departments have gone to different frequencies. The specific areas of channel overcrowding are shown in Map 8.3. Note that simply using several regional frequencies will not alleviate the problem. Certain cities and counties will have to be assigned separate channels. The criteria for doing this will be to reduce overcrowding and will not always be solely a function of population.

ERL Communications Plan

The Electronics Research Laboratory proposes to divide the state into three regions for the state law enforcement radio system. The boundaries are as shown in Map 8.4. The boundaries used to divide the state into thirds are based on:

1. Topology

The western boundary line is almost totally a function of mountain boundaries.

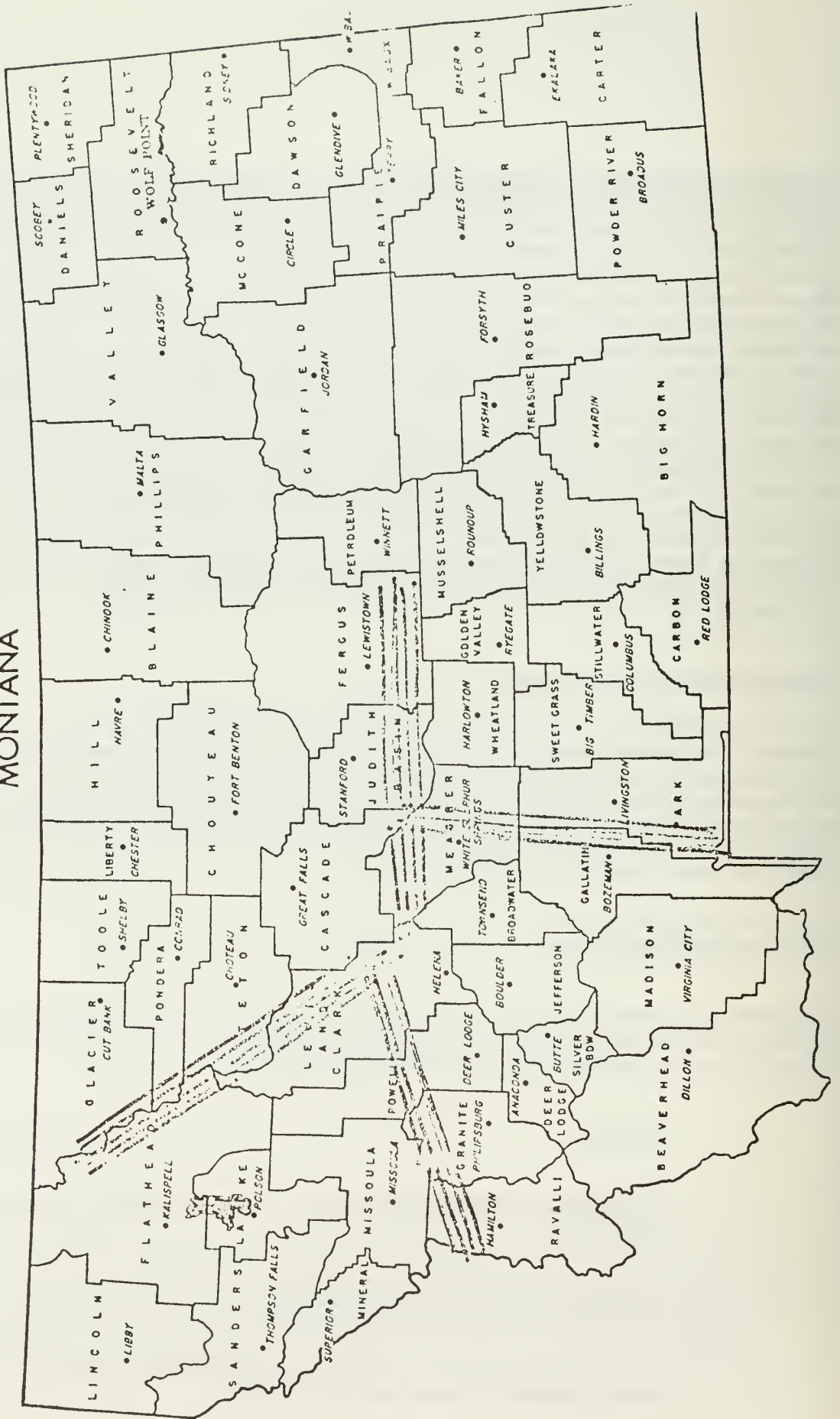
2. Cutting the Minimum Number of Roads

The western boundary line crosses five paved roads, while the eastern boundary crosses six paved roads.

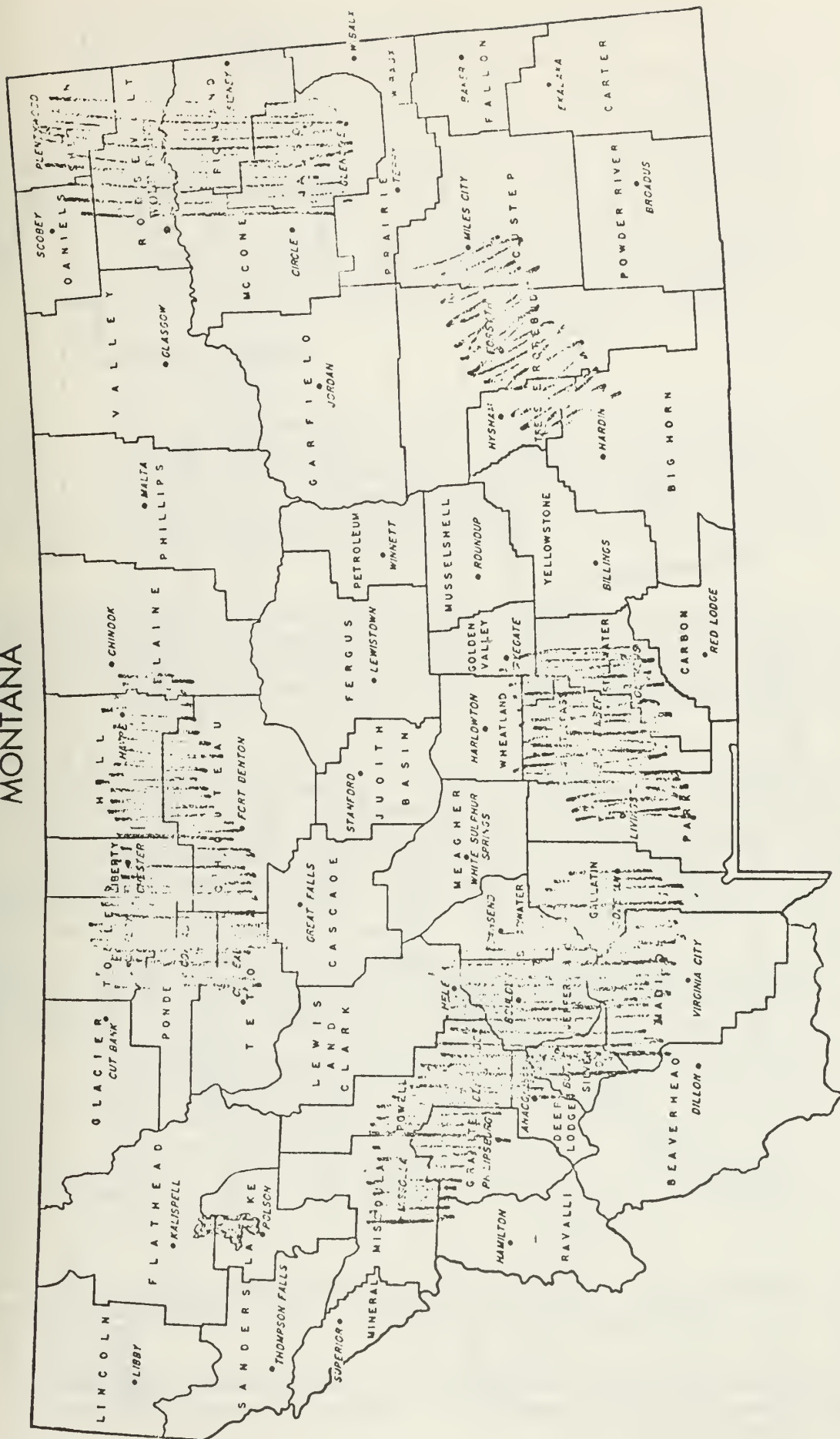
Map 8.2

Natural Boundaries

MONTANA



MONTANA



No. 1052 — County Outline Map
 STATE PUBLISHING COMPANY

Hecla

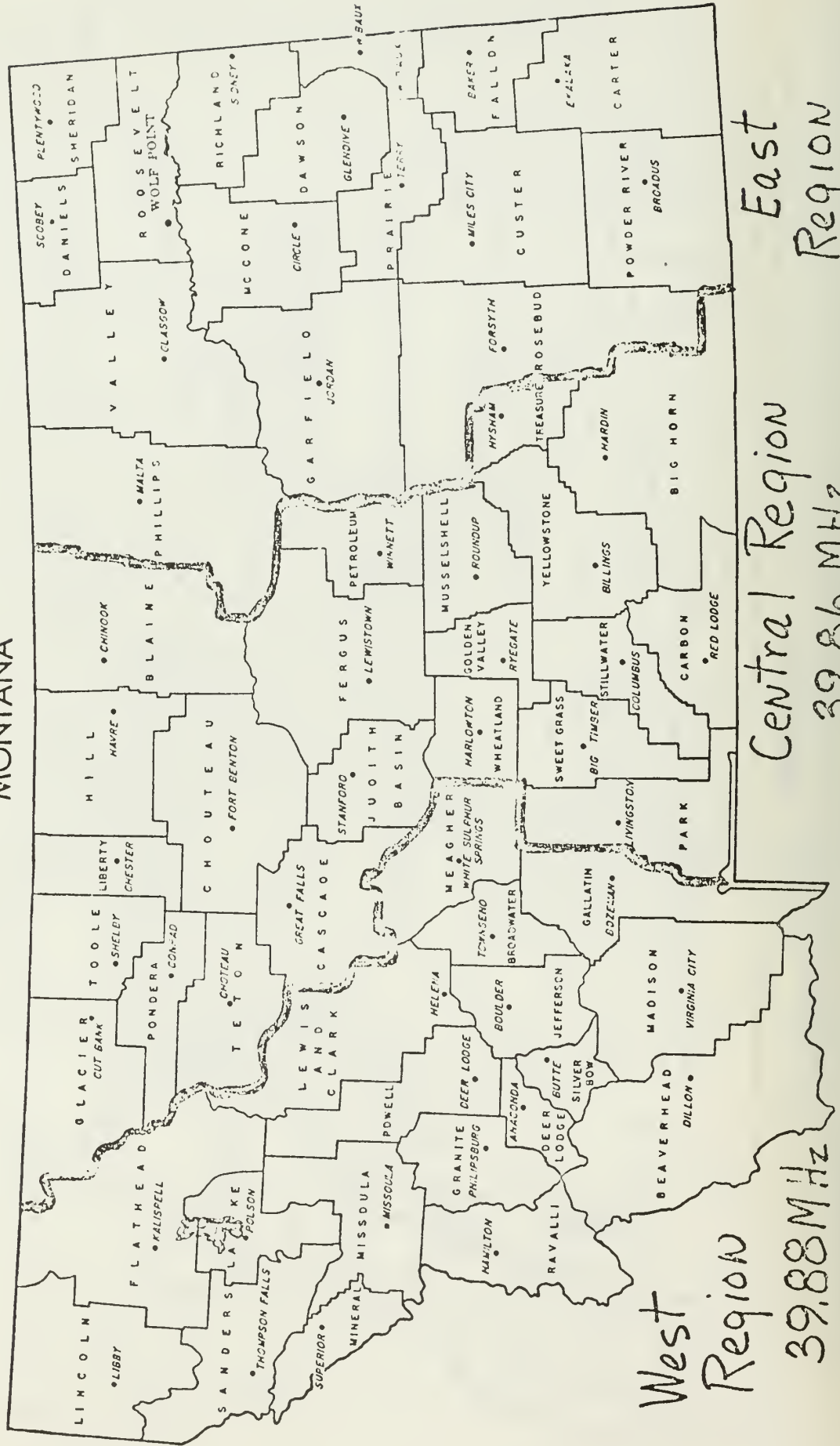


60
50
40

Map 8.4

ERL Communications Plan

MONTANA



West Region
39.88 MHz

Central Region
39.86 MHz

East Region
39.88 MHz

3. Political Associations

Hardin, for example, which could be in the east region, was put in the central region because of its association with Billings.

4. Radio Propagation

The east and west regions will not interfere with each other, even though they may be on the same frequency. This is true because of the distance and land topology between the two regions. Also, a region should be able to communicate to all counties; e.g., White Sulphur Springs can communicate with Townsend and Helena, but not Harlowton (due to land topology).

The two borders shown in Map 8.4 fit the requirements better than any other set of boundaries that ERL could conceive. (It should be noted herein that the five field district concept developed by IACP for the Montana Highway Patrol fits the three region boundary concept of the ERL Communications plan exactly with the exception of Meagher County.)

The advantages of three regions with two regional frequencies are significant. All of the communities within a region can have the common regional frequency with which to communicate (all communities in the state also have the emergency channel, 39.82 MHz). The larger counties and cities will be assigned separate channels, so that overcrowding will not exist on the regional frequencies. All communities will be able to communicate with the nearest teletype on the regional frequency. Whenever a radio message must cross regional boundaries, the 39.82 MHz channel can be used. Whenever a law enforcement officer in a car traverses the state, he can be in local communication by using the regional frequency or the emergency frequency (on the regional frequency he hears the local traffic; while on the emergency channel little traffic should exist normally). If Highway Patrol units had four frequency capabilities, they could operate on (1) the emergency frequency 39.82 MHz (also until everyone in the state gets converted, 39.82 MHz will be the only channel in some areas), (2) the patrol channel, (3 or 4) either of the regional frequencies. Obviously, the larger counties and cities which have separate channel allocations will have to monitor both the regional and emergency channel. Another less obvious advantage of the system herein proposed is that the frequencies to be used as regional frequencies and as special frequencies are much less crowded throughout the nation, which means that there will be significantly less skip interference.

(Note: It was later shown in the study report that the Highway Patrol should change to a different channel than 39.90 MHz to reduce skip interference problems.)

The changeover (from existing channels and equipment) will cause a minimum of inconvenience to the departments concerned. This regional plan is similar enough to the

Systems Science Development Corporation's recommendations that no implementing effort on that plan will be lost. The ERL plan is readily implemented—the channels (providing the FCC approves) and equipment are available. Since many communities are buying new equipment, the traffic overload on the 39.82 MHz channel will soon be reduced. All low-band law enforcement radio equipment can be of the 160 kc total bandwidth type (a distinct advantage). A final point is that the ERL law enforcement plan has capacity for a considerable amount of population growth within the state.

Proposed State Microwave System

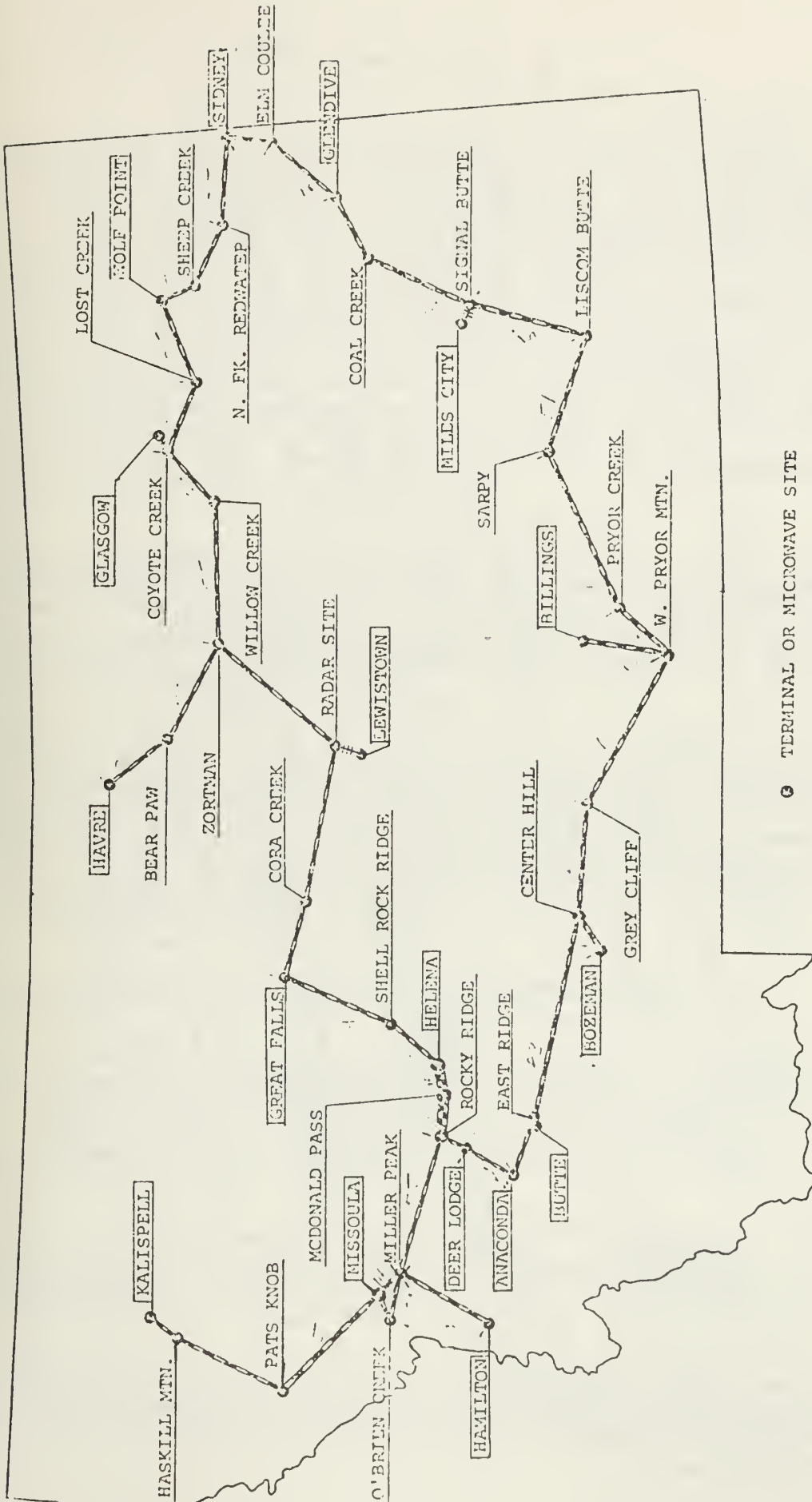
Map 8.5 illustrates the proposed state microwave system. The report indicated that the state should seriously consider a common control switching arrangement system (CCSA) and a new numbering scheme to achieve a more efficient, economical, and better managed communications system, be it leased or a state system.

As a result of extensive contact with the potential users, a number of maps were included in the study report indicating how ERL envisioned that users would utilize the capabilities of the system. The maps show in a functional manner how each capability of the state system (data transmission, facsimile transmission, etc.) will be used for individual users. The maps were done for large users (i.e., LETS teletype, Highway Patrol radio dispatch, etc.). It should be noted, however, that the expected usage for all users, large and small, is being accounted for in the system capacity calculations. In general, small users (of teletype for instance) can be added on the state system very easily.

Facsimile Systems. (For law enforcement facsimile systems the study report recommended two six-party lines. See Map 8.6.)

Radio Dispatching Systems. Following conversations with manufacturers of microwave communications systems, other states, and the Montana Power Company, it is apparent that most users of microwave systems that have mobile radio dispatching systems use party lines. A party line system has several users on each audio line leaving a dispatch center. The dispatch operator can talk to a mobile unit using one of the several base stations that may be connected to that party line (of course, the mobile must be in range of the particular base station being used by the dispatcher). When the system is idle and a mobile operator wants to talk to the dispatcher, he keys his transmitter which is received by the nearest base station which relays the signal via microwave and thus is received by the dispatcher. The dispatcher can tell which base station is being used to receive the signal from the mobile. The dispatcher then communicates with the mobile over that base station. If the dispatcher is talking to a mobile over one of the base stations, this precludes any other base station on that line receiving a message from a mobile. However, if two mobiles are each trying to talk to the dispatcher over different base stations but yet on the same party line, the dispatcher will hear both conversations at the same time and in general it will be distorted and the operator will have to ask one of the two to be silent. This problem generally limits how many base stations can be controlled on a party line.

Proposed State Microwave System

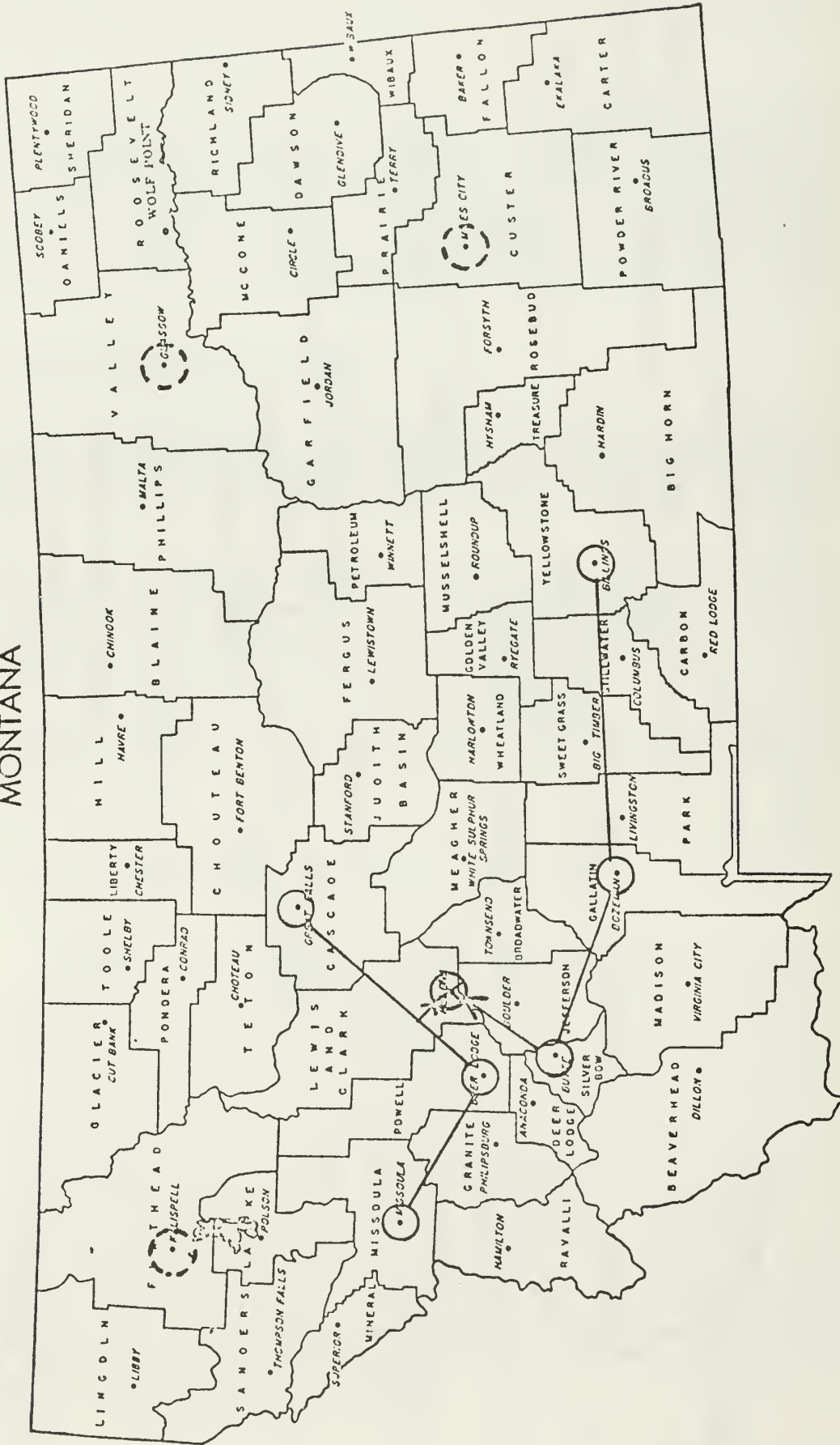


- TERMINAL OR MICROWAVE SITE
- 2 GHz MICROWAVE LINK
- - - 6 GHz MICROWAVE LINK
- ... TELCO PROVIDED LINK


TRONICS RESEARCH LABORATORY
 MONTANA STATE UNIVERSITY
 BOZEMAN, MONTANA

Map 8.6
Dedicated Facsimile System

MONTANA



No. 1052 — County Outline Map
STATE PUBLISHING COMPANY
Helena

 These cities could be added to party lines
for better state coverage.

Dedicated Facsimile System
Law Enforcement Teletypewriter Communications Bureau,
I C T, Dept. of Justice, Bob Batch (2 party lines)



The equipment made by manufacturers of microwave systems will easily handle up to six base stations on one audio circuit. However, few users use six base stations on a single party line. The closest example is the Montana Power Company. They have seven base stations to control. They have two party lines that serve three base stations each plus one line which serves only one base station. Montana Power Company only occasionally has the problem of more than one mobile trying to use the system on a party line at one time. ERL engineers tried to fit the various Montana radio dispatching systems onto party lines. It soon became apparent that ERL did not have adequate information to do this. All non-trivial users of mobile radio dispatching systems were contacted and the party line concept was discussed with them. Then the ERL engineer and the potential user determined where (to which base stations) party lines would be appropriate. In this manner the expected usage and growth of the system were incorporated into party line setups. The Montana Highway Patrol radio dispatching system was developed by this method and is shown on Map 8.7.

Radio Frequencies. As noted previously, frequency assignment plans were approved by the Montana Board of Crime Control, the Federal Communications Commission and the Canadian Department of Transport. The most recent up-date listing is shown on the enclosed sheet "Montana Law Enforcement Radio Frequencies." Map 8.8 depicts guidelines for assigning local frequencies in Montana (based on population densities and natural geographic boundaries).

Teletype Systems. Teletype systems generally use party lines also. In general, the party lines designed for teletype systems serve up to 16 users. The present law enforcement teletype system in Montana uses party lines with up to 16 users per line. Map 8.9 shows the design of a Law Enforcement Teletype System using the state microwave system instead of telpak lines. The layout of the state microwave system is shown on the referenced map. The solid lines are state microwave lines whereas the dotted lines are leased from the telephone company.

Implementation of Montana Law Enforcement Communications Plan

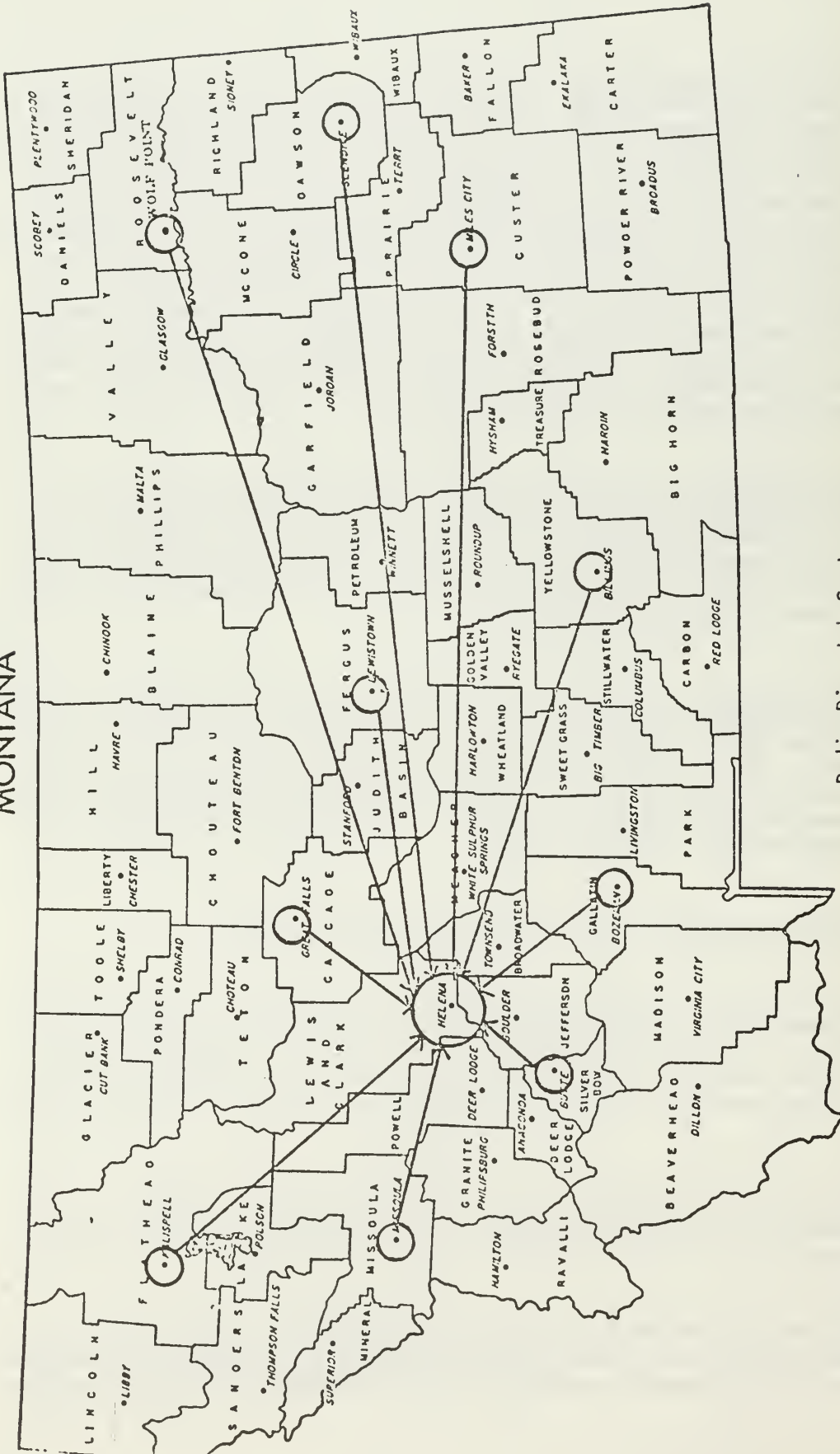
The proposed Montana Law Enforcement Communications Plan is a desirable plan and should be implemented. The full microwave system as illustrated in Map 8.5 should prove to be a major benefit to the Highway Patrol as well as other agencies of local, county and state government. The present intrastate system using oral message relay will eventually be eliminated by the ability to send direct transmissions over the microwave system.

State communications officials also advised that they are working with NASA on PSCC satellite dedicated law enforcement channels. One such channel is already in use for forest fire control.

We recommend that this coordination be aggressively continued as satellite law enforcement radio channels would resolve current problems being experienced in Montana which are caused by the extensive mountain ranges threading across and throughout the

Map 8.7
Radio Dispatch System

MONTANA

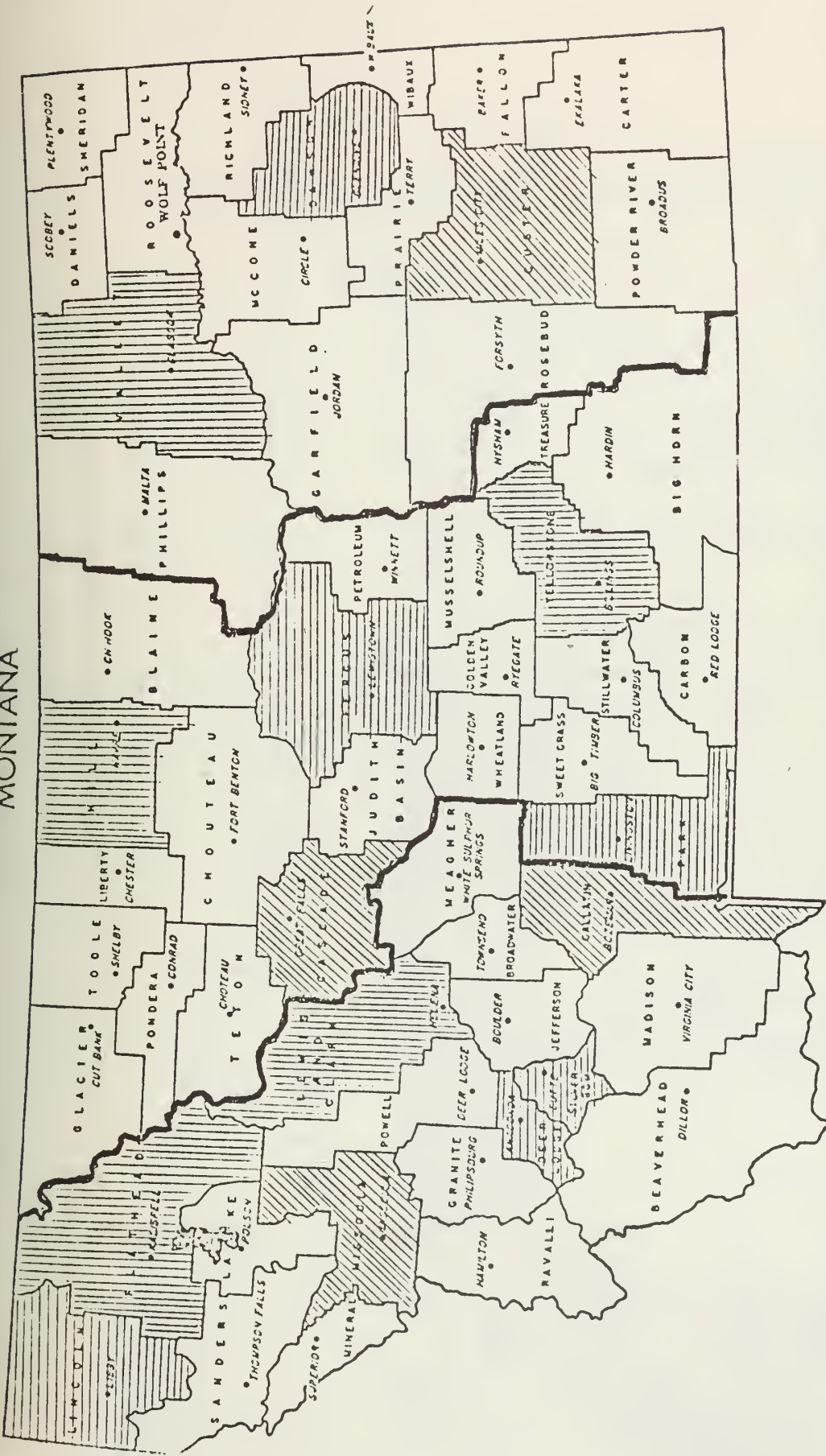


Radio Dispatch System
Dept. of Justice, Highway Patrol,
John Heath
(Ten Dedicated Lines)

No. 1031 — County Outline Map
STATE PUBLISHING COMPANY
Helena






MONTANA



No. 1052 — County Outline Map
 STATE PUBLISHING COMPANY
 Helena

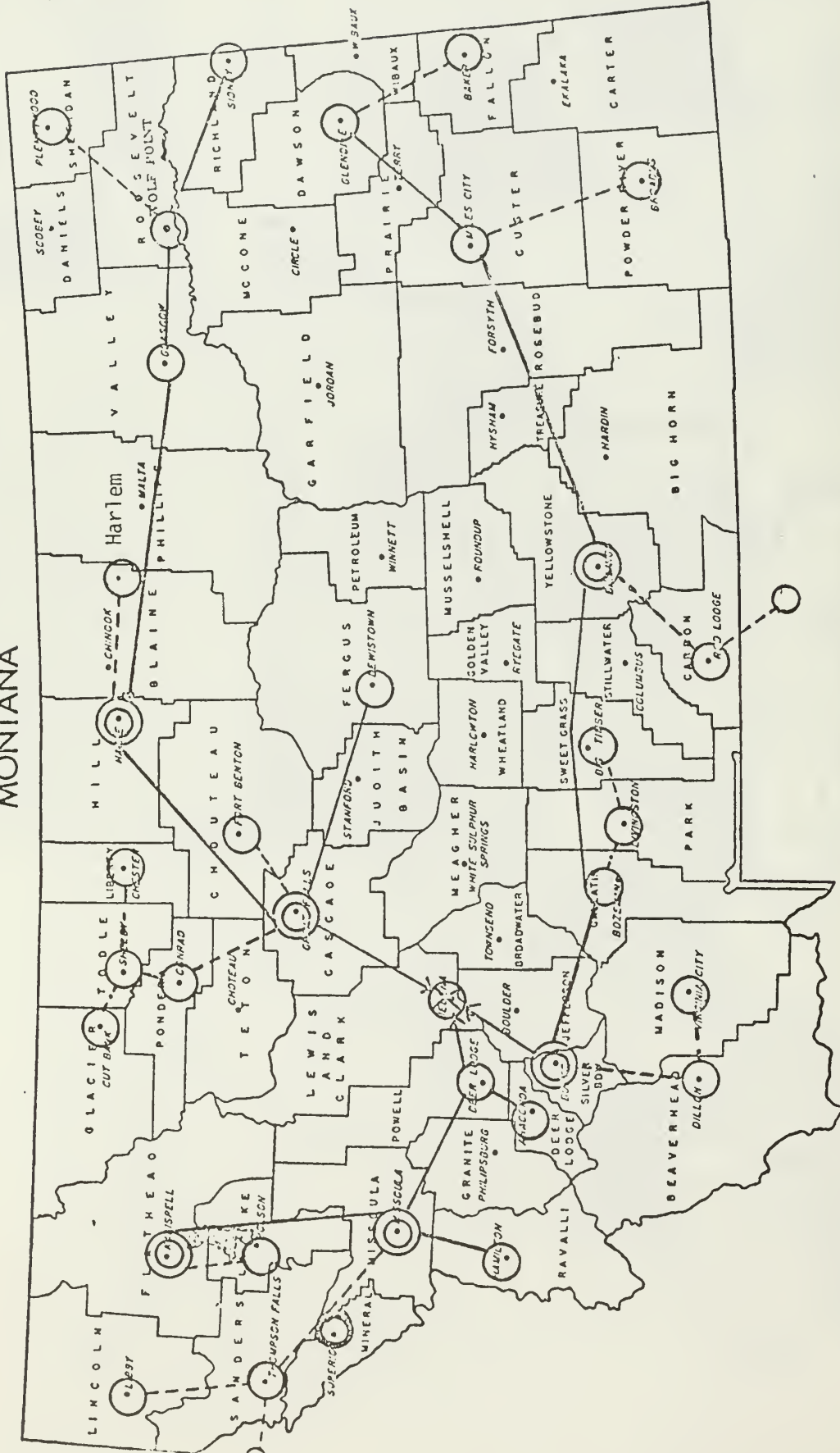
- 39.74 MHz Tribal Police and BIA Frequency
- 39.82 MHz Statewide Emergency Frequency
- 39.92 MHz Highway Patrol Frequency
- 39.90 MHz Fish and Game Frequency
- 39.78 MHz Livestock Commission Frequency
- 39.98 MHz Civil Defense and Local Govt. Freq.

Police and Sheriff Local Frequencies	
	39.76
	39.84
	39.80
	39.94
	39.72
	39.96



Map 8.9
Montana Law Enforcement Teletype System

MONTANA



No. 1032 — County Outline Map
STATE PUBLISHING COMPANY
Helena

Montana Law Enforcement Teletype System

- ⊙ Cities with two teletypes
- Leased phone lines
- Microwave system



MONTANA LAW ENFORCEMENT RADIO FREQUENCIES (MHz)

39.500	Multiple Usage
39.520	Missoula Co. SO
39.540	Department of Justice
39.560	Mobile Relay Input (used with 39.960)
39.580	Multiple Usage
39.600	State Agencies
39.620	Kalispell PD and Montana State Prison
39.640	Deer Lodge Co. SO and Flathead Do. SO
39.660	Flathead Co. SO, Sanders Co. SO and Department of Revenue
39.680	Montana State Prison and Powell Co. SO
39.700	Statewide Mobile-to-mobile
39.720	Multiple Usage
39.740	Indian Tribal Police
39.760	Glasgow PD, Lewis & Clark Co. SO and Yellowstone Co. SO
39.780	Department of Livestock
39.800	Ronan PD and Silver Bow Co. SO
39.820	Statewide Primary
39.840	Multiple Usage
39.860	Multiple Usage
39.880	Statewide Secondary
39.900	Department of Fish and Game
39.920	Highway Patrol Bureau
39.940	Multiple Usage
39.960	Mobile Relay Output (used with 39.560)
39.980	Statewide Civil Defense
154.725	Billings PD
154.965	Helena PD
155.010	Billings PD and Eastern Montana College
155.130	Eastern Montana College
155.475	Common National Law Enforcement
155.610	Billings PD
155.895	Mountain View School
453.050	Great Falls PD
453.300	Great Falls PD
453.750	Great Falls PD
453.950	Great Falls PD
458.050	Great Falls PD
10525.000	Statewide Radiolocation
Tones Hz)	Mobile Relay Stations (R 39.560/T 39.960 MHz)
146.2 (1/A)	Home Creek Butte, 12 miles E of Ashland, Powder River County
146.2 (1/A)	Patrick's Knob, 3 miles WSW of Paradise, Sanders County
151.4 (2/B)	Eaglehead Mountain, 32 miles S of Bozeman, Gallatin County
156.7 (3/C)	King Mountain, 5 miles ENE of Troy, Lincoln County
156.7 (3/C)	Porphyry Peak, 8 miles S of Neihart, Cascade County
162.2 (4/D)	Mount Maurer, 20 miles SSW of Dillon, Beaverhead County
167.9 (5/E)	Baldy Mountain, 7 miles SSE of Virginia City, Madison County
167.9 (5/E)	Scalplock Mountain, 2½ miles NE of Essex, Flathead County

state.

Proposed Telephone System

All telephone calls to headquarters, Montana Highway Patrol, terminate in a switchboard operated by a receptionist where they are screened and transferred to local telephone extensions throughout the headquarters, whether they be administrative, routine, or emergency. Calls evaluated as requests for police service are handled in the same manner.

There is urgent need for the separation of administrative calls from those requesting police services. This objective must be achieved by high level liaison between the Highway Patrol administrative staff and the executive staff of Mountain Bell and other independent telephone companies of Montana.

The objective is to establish one telephone number which should be used exclusively for administrative calls in and out of headquarters and each of the five field districts. A second number should be installed to handle all requests for police service. While the 911 emergency telephone system may not be feasible to implement on a statewide basis, the concept should be explored with respective telephone company representatives.

We believe that there may be a need to install three lines—rotary, to the emergency request for police service telephone number assigned to each of the five field districts. In addition, there may be a need to install two administrative telephone lines to each field district headquarters, one for general use and one assigned to the district captain's office.

A serious problem also exists in regard to citizen calls for weather reports and road conditions during the winter and other inclement weather periods. Field officers and administrative personnel complained that the magnitude of these calls often ties up all telephone lines to the district headquarters.

We recommend that the proposed Research and Development Section coordinate with the respective telephone companies and perform a staff study to determine ways to eliminate this problem. It is suggested that during the winter season, one or more special telephone lines be assigned to each district headquarters and be designated in telephone directories as the number to call for weather and road conditions. These lines could be interconnected to a tape which would provide current information for the district. Each morning these tapes would be updated in accordance with current weather and road conditions.

The above recommendations should be the basis for a detailed telephone use survey assigned to the proposed Research and Development Section.

Maintenance of Communications Equipment

A major problem exists throughout the department with regard to the maintenance of radio communications equipment. Many cases were reported of undue delay in the repair of vehicle radios and radar sets throughout the state. During our field visits, it was also noted that one division base station had been out of service for at least two weeks awaiting repairs.

Under the present system, maintenance is performed under an annual contract between the Communications Division, Department of Administration, and the Highway Patrol. Three maintenance repairmen are located in Helena, one in Missoula, one in Kalispell, one in Great Falls, one in Billings, and one in Glendive. The contract does allow maintenance by a private shop if the state cannot perform the necessary service within 24 hours. While this does allow some leeway to the Highway Patrol, there do appear to be complications in its administration.

While the concept of a State Communications Division responsible for technical personnel, equipment, and equipment maintenance as well as technical installations, engineering, and procurement activities is commendable, we believe that the present maintenance service needs improvement. Our comments here then are presented only in terms of the State Communications Division maintenance support effect upon Highway Patrol operations. Many patrol officers contacted feel that their operations are being adversely affected by current maintenance procedures. On the other hand, state communications maintenance personnel contacted reported that they were overburdened with repair work from all state agencies. The Helena shop, for example, is responsible for equipping all new state automobiles with radio equipment, as well as repairing all radar sets.

Field complaints concerning poor maintenance can be attributed to delays encountered in the repair of equipment. Police operations cannot afford unnecessary delays. For example, when an officer must drive many miles to a repair shop and wait until his radio is repaired or leave his radio there for repair, police operations are seriously affected. We propose that spare or replacement equipment should be provided to permit a rapid exchange of transceivers and place the operator back in service immediately. Additionally, when a base station becomes inoperative, it should be repaired immediately. Delay in maintenance and disruption of communications cannot be tolerated in police operations.

Maintenance of base stations, vehicle and hand-held radios, and radar sets should be established on a 24 hour a day basis. Backup base stations and spare transceivers should be considered as a matter of policy. While still maintaining a maintenance relationship with the State Communications Division, Highway Patrol District and Post commanders should be given the option of ordering equipment repair services from private communications agencies, regardless of the hour of the day or day of the week, when such services cannot be immediately provided by the State Communications Division. A pay arrangement system with private technicians who perform emergency equipment repairs at odd hours should also be arranged for.

We recommend that the proposed Research and Development Section conduct a study of communications maintenance and that a working arrangement be developed with the State Communications Division and appropriate private communications agencies wherein Highway Patrol base stations, vehicular radios, handheld radios, and radar sets are afforded priority maintenance service.

Research should also be conducted to ascertain the possibility of providing emergency power service to each base station so that telephone and radio communications service can be continued during power outages.

Communications Training

Few law enforcement agencies have well designated training programs for radio dispatching personnel. This is also true of the Montana Highway Patrol. The district communications equipment operator (police services technician) is an integral part of the Highway Patrol operation.

He is the only contact an officer in the field has with other officers or supervisors. From a safety standpoint, he is perhaps the most important member of the field force staff. Consequently, the communications equipment operator should be trained to perform his duties in a competent and efficient manner.

The IACP recommends that the department develop a comprehensive training program for the communications equipment operators (police services technicians). All newly hired operators should be required to complete the training program before being assigned to a district. Such training should be accomplished at the headquarters communications services section.

In addition, it is recommended that new recruits, upon arrival in their district of assignment, be required to learn dispatching procedures. This training should include the operation of a dispatch position as an assistant to the communications equipment operator (police services technician). This program will assist the officer in appreciating the dispatcher's problems, while also allowing the officer to familiarize himself with the district to which he is assigned.

Recommendations

1. Redesignate the present Communications Section as the Communications Services Section under the proposed Technical Services Bureau.
2. Organize and staff the Communications Services Section and the District Communication Centers as discussed.

3. Publish a department general order on communications which sets forth standards and specific operating instructions on the care and use of the various types of departmental communications system.
4. Insure that personnel using department radios conform to FCC operating rules and procedures.
5. Revise operating procedures and make personnel assignments to enable district communication centers to be operational 24 hours a day, 7 days a week. At least one highway patrolman should be on road duty at all times in each field district.
6. Initiate requirements for police services technicians (radio dispatchers) to monitor CB radios as well as the National REACT System.
7. Evaluate the need for a civil defense hot-line telephone into the headquarters Communications Services Section.
8. Assign staff supervisory authority and control responsibility over all electronic communications systems utilized by the department, including field district communication centers, to the Communications Services Section as recommended in the text. Insure that they are operating in accordance with prescribed departmental standards and are achieving maximum effectiveness.
9. Initiate a system whereby the Communications Services Section will process and approve all requests for the purchase, rental, installation or alteration of all radio, telephone and other landline types of communications equipment utilized by the department.
10. Implement the communications equipment operator (police services technicians) training program and recruit familiarization procedures as discussed.
11. Establish the Highway Patrol communications budget program separately from other departmental budget programs.
12. Continue to implement the Montana Law Enforcement Communications plan.
13. Initiate action to improve telephone service as discussed in the text.
14. Designate one telephone number for administrative calls and one number for requests for police service at headquarters and each of the field districts.

15. Take action to resolve the problem of inclement weather and road condition calls as proposed in the text.
16. Initiate a program to improve communications maintenance as proposed in the text.
17. Develop a training program and implement training for radio dispatching personnel (police radio technicians) as discussed.
18. Provide orientation and dispatch training to all new recruits assigned to field districts.

IX

LABORATORY SERVICES

Section 1 - The Role of a Crime Laboratory

The role of a crime laboratory within the criminal justice system is basically one of service to law enforcement field forces. The purpose of the crime laboratory is to apply the technology of the physical sciences to the examination, analysis, and evaluation of physical evidence. The role of the laboratory must be maintained on an objective and unbiased level. The laboratory expert must stand ready to offer, by his testimony, evidence reflecting the innocence or establishing the guilt of a suspect.

The adoption of modern instrumentation, technology, and techniques as aids in criminal investigation is a significant development which should be pressed to advantage by law enforcement. Analysis of each trace of evidence may aid the investigator in the identification and conviction of the perpetrator of a crime. The President's Crime Commission stated that, "The crime laboratory has been the oldest and strongest link between science and technology and criminal justice."¹ Fundamentally, the basic role of a crime laboratory system is to:

- Search for, recognize, chart, photograph, collect, identify, preserve, pack, transport, retain, and control the legality of physical evidence.
- Scientifically examine the physical evidence.
- Analyze the results of such examination, recording them in written reports.
- Provide accurate, objective court testimony when called upon.

¹ The President's Commission on Law Enforcement and Administration of Justice, The Challenge of Crime in a Free Society (Washington, D.C.: U. S. Government Printing Office, 1967), p. 255.

- Furnish counsel and assistance to law enforcement in related technical matters and provide training to field officers in the appreciation of scientific aids to crime detection, as well as physical evidence recovery techniques.
- Further the technical knowledge of the examiners by research and study to keep them abreast of the expanding technology.

To be most effective, the role of the crime laboratory should be fully understood by field officers and administrative staffs.

Evaluation of the Laboratory's Performance and Potential

Studies by the American Academy of Forensic Sciences have indicated that, in many instances, crime laboratory personnel have tolerated variances in procedures, failed to better themselves professionally, and permitted loose control practices to develop. In addition, there are too few advanced degree programs, seminars, and workshops for these professionals to attend. There is also a lack of qualification certification procedures. Most damaging of all is a lack of interchange of technical information among laboratories. Without this essential interchange, an improved technical procedure can exist without other experts in the same field being aware of it.

In view of the overall problem, the President's Crime Commission recognized and underscored the need to improve field investigative techniques and to develop new scientific aids. It was the general consensus that few laboratories are used to their full potential. Addressing itself to this deficiency, the Crime Commission observed that, "the great majority of police department laboratories have only minimal equipment and lack highly skilled personnel able to use the modern equipment now being developed and produced by the instrumentation industry."²

In spite of these shortcomings, the crime laboratory possesses unlimited potential to assist law enforcement. Its success depends, in part, upon the understanding of the department of its role, its strength, and its shortcomings. Evidence must be collected properly to insure a proper analysis. Evidence can be collected either by properly trained, equipped, and motivated field officers or by specialists, such as teams of evidence technicians. Regardless of the procedure utilized, the ultimate quality of the laboratory finished product is a direct function of:

- The quality of the evidence brought to the laboratory

²Ibid.

- The education, abilities, and practical experience of the laboratory examiners.
- The scope and quality of the work environment, departmental understanding of the laboratory's role, and the equipment and techniques available.

The laboratory expert must be of sound character and possess integrity beyond reproach. His work can furnish the field officer with definite information relating to the evidence submitted which may provide additional avenues of inquiry into the facts of the case. In addition, the conclusions of the expert, when reached by recognized, approved methods, provide the court with conclusive, demonstrative evidence. Today, he must be prepared to demonstrate his findings graphically and otherwise, rather than merely relating his professional opinion. The expert laboratory examiner, properly recruited and equipped, will soon gain the confidence of the field forces and the representatives of the court. His unbiased scientific interpretation of the evidence should provide conclusions which insure that the best interests of justice are served.

Present Crime Laboratory System

The crime laboratory for the State of Montana is now organized as a Crime Laboratory Bureau under the Law Enforcement Services Division of the Department of Justice. According to information received, the laboratory is full service with the exception of pathological services.

Montana Highway Patrol officials reported that they routinely submit blood, breath, and urine specimens to the state Crime Laboratory Bureau for a determination of alcohol content. Physical evidence such as paint chips, glass, car parts, etc., are not normally gathered and submitted for laboratory analysis. It was reported that some local police laboratories are utilized for drug analysis.

Due to the fact that the state Crime Laboratory Bureau is not a part of the Highway Patrol, we did not visit the laboratory to review its operations.

Analysis of Present Crime Laboratory System

While the present state Crime Laboratory Bureau has some limitations, we have ascertained that the Highway Patrol generally has failed to take advantage of the services offered.

There is little emphasis upon evidence gathering in the field and the department has not developed precise guidelines for officers to follow in identifying, storing, packaging, and transmitting evidence to the state Crime Laboratory Bureau or to any other laboratory. Far too much discretion is left to the officer as to whether he even attempts to gather evidence, let alone how he identifies it, packages it, and transmits it to a

laboratory for examination. No centralized authority has been assigned to oversee or control the handling of evidence on a departmentwide basis.

While a number of patrol officers responded to us that their traffic mission rarely brought them in contact with physical evidence requiring laboratory examination, the fact is that physical evidence is frequently available in hit-and-run, traffic assault, serious injury and fatality accidents, drunken driving, driving under the influence of drugs, hit and run property damage off the roadway, and other traffic related cases.

When supervisory officers were questioned regarding evidence handling procedures, packaging and transmittal of evidence to the state Crime Laboratory Bureau or the FBI Laboratory, they were vague and stated that it was up to each officer to handle, package and transmit his own evidence.

A minimum amount of evidence was found stored at field divisions. Specialized evidence storage spaces had not been built or specifically provided for. Evidence was generally mixed with supplies in a large metal locker or was stored on open shelves in the division supply room. Key control for the most part was widespread and poorly administered when evaluated in terms of evidence security.

The adaptation of the physical sciences as an aid to criminal investigation is one of the most significant developments in law enforcement during the past generation. Every mark and trace of a substance left at a crime scene may aid in the identification and conviction of the perpetrator. Scientific techniques now exist for gathering, preserving, analyzing, and comparing fingerprints, blood and semen stains, soil, bullets and cartridges, hairs and fibers, tire and tool marks, glass and paint particles, and others. Recently "voice prints" and neutron-activation analysis techniques have been added to the police arsenal of scientific weapons against crime.

Some deride the value of scientific aids by stating that scientific analysis may be applied only to a relatively small number of cases. This is not true. It is, unfortunately, a popular myth whose perpetuation has encouraged police administrators to rationalize investigative shortcomings since the marriage of science and police administration early in this century. It simply cannot be denied that the perpetrator must have some form of contact with the victim or with his surroundings during the commission of both traffic and criminal offenses.

A basic responsibility of a law enforcement agency is to gather and make available all evidentiary information possible for the successful prosecution of the traffic or criminal offender. This involves searching for and recognizing items of physical evidence, and processing, sketching, photographing, collecting, packaging, transporting, storing, and controlling such items. The usefulness of laboratory analysis information is dependent upon the receipt of evidence items in the same state as found. However, it is not economically feasible to train each and every officer to the point of technical proficiency in this particular phase of police work.

The standards and objectives of the laboratory system should be (1) to furnish and provide the scientific examination and analysis of all physical evidence pertaining to crime, (2) to perform crime scene searches and examinations for the purpose of recognizing, collecting, identifying, transporting and preserving physical evidence, (3) to furnish written reports, evaluation, and testimony on evidence, (3) to furnish written reports, evaluation, and testimony on evidence submitted for use in the solution of crimes, and (4) to provide experts in scientific crime scene examination techniques who shall train, counsel, advise, and assist police agencies.

Proposed System

As noted in the organization and span of control chapter of this report, we have recommended the organization of a Property and Evidence Control Section under the proposed Administrative Services Bureau. The Property and Evidence Control Section, headed by a lieutenant, would, in addition to his other responsibilities, have responsibility for control over the headquarters evidence storage facility and be responsible for staff supervision over the custody and control of all evidence and found property stored in the various authorized evidence storerooms of the department.

Collection of Evidence. The effectiveness, efficiency and success of any crime laboratory is directly related to the collection of physical evidence. The responsibility of searching crime scenes should lie with the respective law enforcement agency which has jurisdiction over the accident or crime which has occurred.

To improve evidence collection procedures for major incidents, the Montana Highway Patrol should train a nucleus of patrolmen from each district (two or three patrol officers) as evidence technicians. Evidence technicians should receive specialized training and be equipped to evaluate and completely process any and all accident and crime scenes.

The first officer to arrive at the scene of a major incident should protect the scene and immediately summon an evidence technician. The technician should evaluate and process the scene unless assistance is required, in which case he should call for the assistance of other evidence technicians.

Preservation and Identification of Evidence. The preservation of evidence begins with its discovery. Discovered evidence should be preserved until a crime scene evaluation is completed and its relationship to other evidence and the crime reconstruction is correlated. The proper preservation of evidence is essential to identification and comparison, and prime consideration must be given to maintaining the original shape and condition of evidence, and to protection from contamination from other evidence or unclean containers. To accomplish this, only individual, unused, and suitable containers should be employed.

The primary purpose of identifying evidence is to enable the finder to identify it at a later date in court as the article of evidence found at the crime scene. This is done

by placing initials or a unique mark directly on the piece of evidence. Individual officers should render their initial mark and maintain this unique mark. Hard metal objects or glass containers may be initiated with metal scribes. Powders, liquids, fibrils, hairs, and other fragile evidence should be placed in containers that can be identified with the unique mark of the recovering officer.

For proper identification, the individual container of each piece of evidence should contain:

1. Description of the material contained
2. Initials of recovering officer
3. Date, time, and location when found
4. Name of victim
5. Type of case and case number
6. An evidence number

Legal Chain of Custody. The establishment and maintenance of custody of evidence is generally considered to be relatively a simple matter; however, it is a vital link in a successful criminalistic operation. The importance of maintaining a chain of custody of evidence that is "foolproof" cannot be overemphasized.

Before any physical evidence is handled, it should be photographed as found, using a scale if possible. If necessary, it should be photographed to show its relationship with other physical evidence. The evidence should be diagramed or sketched within the crime scene. Notation should be made of any identifying marks such as serial numbers, brand name, and defects, to aid in identification.

All evidence should be transmitted to the crime laboratory by the finding officer or the evidence technician who processed the crime scene and as soon as possible after the crime scene processing has been completed. This assures a minimum chain of custody and allows personal contact between the finding officer or the evidence technician with the laboratory staff examining the evidence. The finding officer or the evidence technician should supply a brief written synopsis of the case as well as a request for the examination and comparisons desired from the evidence submitted.

Security of Evidence. Both in the law enforcement agency and in the laboratory, evidence should be stored in a secured area to protect it from loss or contamination and

to maintain the chain of custody. All evidence should be stored in a packaged condition within specialized evidence containers in a secure storage area and should be identified and logged in.

In the laboratory, all evidence should be logged in and stored in a separate location accessible to laboratory personnel only. To assure security, as few people as possible should gain admission to the laboratory proper. All groups and visitors should be handled by conducted tours, and active evidence should be covered and protected. The physical building should have maximum security doors, locks, and windows. Entrance should be into an evidence receiving and reception room. Each section of the laboratory building should have individual locks.

Operations. Crime laboratory operations can be enhanced by taking the following steps:

1. Advertise to all law enforcement agencies in the state the existence of the facility, what it can do for them, and how evidence is to be transmitted for examination.
2. Evidence-gathering procedures should be updated and formalized within the department. Because of the great distances involved in the state, the evidence-gathering method applicable is by the field officer rather than by teams of evidence technicians or specialists. In order to accomplish this procedure, it will be necessary to upgrade the capability of each field officer. Improved procedures should be achieved through intensified training and practical crime scene work at the recruit school and through specialized in-service training. Training should be supported by the issuance of standardized field equipment such as cameras and crime scene search kits to be carried in all patrol vehicles. As this training progresses, the competence of the field officer can be upgraded, and he can, by general order, eventually be provided with careful guidelines assigning additional responsibilities to be performed in the preliminary investigation.
3. Bulletins containing interesting identifications should be prepared by the laboratory staff for periodic release to the field in order to emphasize certain evidence-gathering techniques or the importance of obtaining certain types of evidence.
4. The laboratory staff, in addition to conducting current casework, should:
 - Be provided with the means to visit other crime laboratories periodically

- Become affiliated with professional scientific societies, with membership supported by the state, and receive related technical journals, which should become the property of the library
- Be supported by the state to attend one professional meeting or training conference each year relating to the laboratory needs or goals, for which approximately \$300 should be included in the budget per member
- Develop a meaningful laboratory examination reporting system, to minimize report-writing on the part of the officer, with maximum emphasis placed on reducing the time that the evidence is in the hands of the laboratory personnel

State and Federal Laboratory Services. It should be realized that the present state Crime Laboratory Bureau cannot hope to provide total crime laboratory service to all law enforcement agencies within the state. Some types of evidence gathered in major cases may also require examination by a laboratory equipped with specialized types of equipment such as that employed to perform neutron-activation analysis. Department members should therefore be cognizant of other state and federal laboratories which may provide invaluable aid in forensic analysis and evaluation of specimens of evidence submitted by Highway Patrol officers:

- Federal Bureau of Investigation
- Drug Enforcement Administration
- U. S. Postal Service
- Bureau of Alcohol, Tobacco and Firearms
- Department of Agriculture and Commerce
- Other federal agencies
- Other state law enforcement agencies
- Major city police departments
- Montana state agencies
- State, county and city health departments
- Various hospitals and research laboratories throughout the state
- Industrial and private laboratories
- University and college laboratories

It is suggested that the Research and Development Section research the many laboratories and prepare a list of services available from each. Procedures should also be delineated providing guidance to officers in packaging procedures and other submission requirements to the various laboratories. Centralized control should be maintained over evidence being transferred outside the department to a laboratory for examination and evidence being returned to the department from a laboratory.

Recommendations

1. Establish the Property and Evidence Control Section under the Administrative Services Bureau and assign responsibilities as recommended in the text.
2. Revise evidence storage facilities and evidence handling procedures as proposed.
3. Insure that the Property and Evidence Control Section performs effective and responsible staff supervision over the custody and control of all evidence and found property stored in the various authorized evidence storerooms of the department.
4. Improve the collection process, storage process, chain of custody process, and the frequency of requests for laboratory analysis of physical evidence.
5. Consider training a nucleus of officers (two or three patrol officers) in each region on specialized techniques of processing crime scenes and collecting and handling physical evidence and equip them to perform specialized crime scene investigations.
6. Provide in-service training for all officers on the gathering and handling of physical evidence.
7. Insure that chain of custody and security of evidence is preserved over evidence submitted to a laboratory for examination.
8. Identify other state, local, private and federal laboratories that specialize in specific types of evidence examinations and develop guidelines on the process of submitting evidence specimens to each.
9. Maintain centralized control over the transfer of evidence outside the department to a laboratory for examination and evidence returned to the department from a laboratory after examination.

Section 2 - Future Crime Laboratory System

As noted in the organization chapter of this report, we have recommended that the legislature should, in the future, consider the creation of a separate Department of Public Safety under the office of the governor. We have further recommended that a new state Crime Laboratory Division be located in the new department.

Proposed State Crime Laboratory Division

The present state Crime Laboratory Bureau should, as a part of the general reorganization, be made a separate division within the Department of Public Safety, carrying with it the personnel, space, and equipment now utilized.

Chart 9.1 depicts the proposed organization of the Crime Laboratory Division. The division should encompass a main facility in Helena and three full-service laboratories to be located in Missoula, Great Falls, and Billings. Each regional laboratory should be phased in according to an established need. For example, it is suggested that Billings be established as the first regional laboratory to serve the eastern part of the state. It is recommended that state regional laboratories be combined with city police department laboratories in the locations indicated. If the amount of work generated indicates the need, then a regional laboratory might be also considered at some future time in the Butte area.

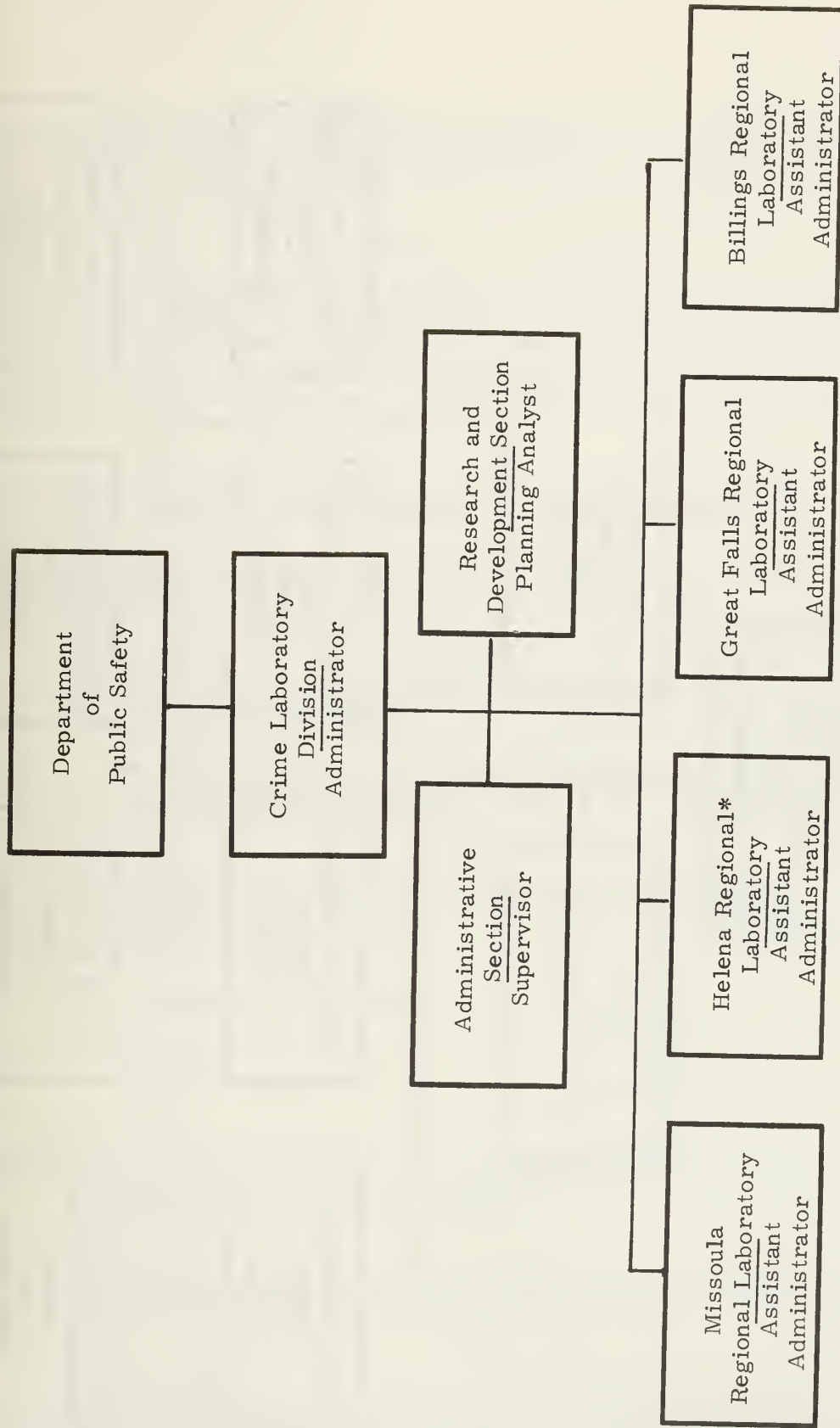
Chart 9.2 illustrates our recommended grouping of activities by functions. Like activities should be grouped into eight sections within the laboratory, and each section should be under the command of a specialist who is responsible for the performance of a major function in the laboratory.

The organizational and functional structure of the proposed state Crime Laboratory Division is discussed briefly below.

The Administrator and His Immediate Staff

The administrator of the state Crime Laboratory Division should be located at the parent regional laboratory in Helena. He should administer the state crime laboratories and provide assistance and support to all Montana law enforcement agencies through four regional assistant administrators. Eventually, the administrator should be assisted by an Administrative Section and a Research and Development Section, both reporting directly to his office. It will not be necessary to staff these units during the early formative stages of the system.

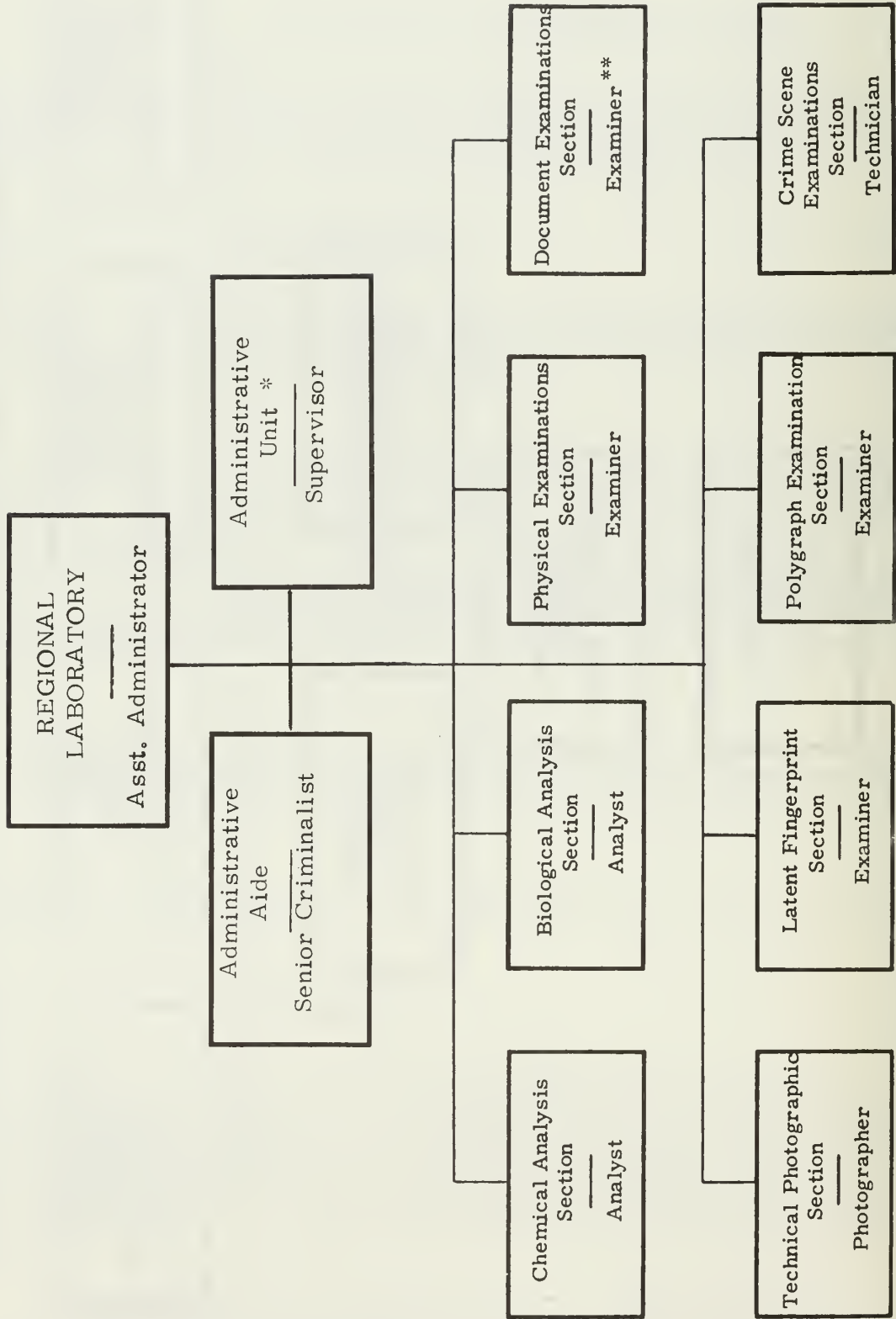
Administrative Section. This section, administered by a supervisor, should lend administrative support to the administrator in the areas of property management, purchasing, and budgeting. In addition, complete record files should be established



*Until the system is fully operational, the Administrator should administer the parent laboratory's criminalistics operations. At a later date, an assistant Administrator may be appointed to head the operational sections.

In the future, in accordance with need, Butte may also be considered as a site for a regional laboratory.

CHART 9.2
 PROPOSED FUNCTIONAL ORGANIZATION
 REGIONAL LABORATORIES
 STATE OF MONTANA



*To be established when workload demands.

**A qualified document examiner should be assigned to the main laboratory at Helena first.

on all cases wherein items of evidence have been submitted to any of the regional laboratories for examination. Management information should be furnished to the administrator. This section should also be responsible for all inspections, and personnel and training functions.

Research and Development Section. This section, headed by a planning analyst, should provide staff assistance to the administrator in the formulation of division policy. It should develop improved administrative and operational procedures, prepare, analyze and issue summaries on laboratory statistics, and research, draft, and produce written directives for the administrator. The section should also perform other research activities as requested by the administrator.

Assistant Administrators and Their Immediate Staff - Regional Laboratories

The assistant administrator in each regional laboratory should be responsible for the following functions:

- Organizing the regional laboratory as necessary to accomplish the mission of the agency
- Conducting staff meetings and inspections to evaluate and improve overall performance
- Periodically reviewing and evaluating division policies and procedures
- Coordinating the activities of the major sections
- Supervising the activity of the Administrative Unit
- Coordinating the affairs of the regional laboratory with those of other regional laboratories and with those of city, county, and state law enforcement agencies
- Providing advice and counsel to appropriate individuals and groups on matters pertaining to the regional laboratory
- Providing information and reports to the administrator of the state Crime Laboratory Division on the regional laboratory's progress and plans

Each assistant administrator should have a small clerical staff to assist him in performing his duties after total operational status is achieved.

Administrative Aide. A senior criminalist in each laboratory should be assigned as the administrative aide to the assistant administrator. He should assist in the management of the laboratory and perform staff inspections of operations to insure quality control as requested by the assistant administrator. He should also perform planning tasks and supervise personnel in the absence of his superior. He should provide staff supervision over the Administrative Unit and represent the assistant administrator in his absence.

Administrative Unit. This unit, headed by a supervisor, should perform all of the administrative and records-keeping functions for each regional laboratory. All incoming items of evidence submitted for examination should be received by this unit and assigned to respective laboratory sections for analysis. Completed reports and evidence to be returned should also flow out through this unit. All requests and examinations made should be carefully documented by time and date and the chain of custody should be carefully protected. Case records should be maintained and tabulated to ascertain each laboratory's contribution to law enforcement and its effect on the crime index. Periodic reports should be submitted to the administrator of the state Crime Laboratory Division in Helena.

Operational Sections

Each regional laboratory should eventually be organized into eight sections representing the laboratory's major functions. Chart 9.3 lists the functional responsibilities which should be assigned to each of the operational sections. These responsibilities are briefly summarized below.

Chemical Analysis Section. This section, headed by an analyst, should analyze and evaluate inorganic materials.

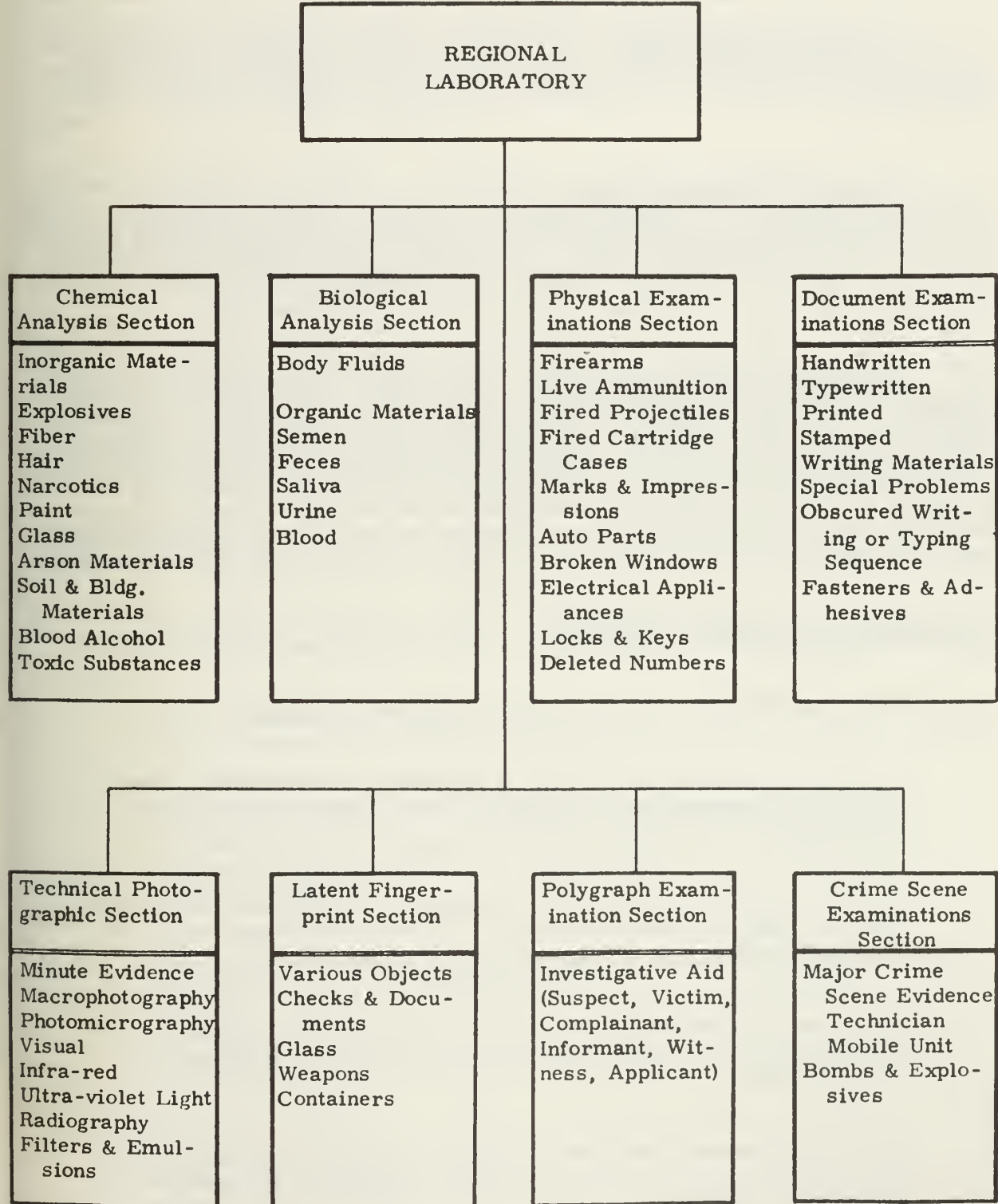
Biological Analysis Section. This section, headed by an analyst should analyze physiological fluids and organic materials.

Physical Examinations Section. This section, headed by an examiner, should perform firearms examinations and analyze marks and impressions. The section should also maintain reference collections of firearms, cartridges, and projectiles to be used for visual comparisons of known specimens.

Document Examinations Section. This section, headed by an examiner, should examine any instrument which is recorded in any manner by means of letters, figures, or marks which may be eventually used to convey a meaning. Forms of examinations include forged checks, ransom and blackmail notes, and negotiable certificates and similar items. Such documents to be examined may be handwritten, typewritten and/or printed.

CHART 9.3

PROPOSED DIVISION OF FUNCTIONAL RESPONSIBILITIES
REGIONAL LABORATORIES
STATE OF MONTANA



Technical Photographic Section. This section, headed by a technical photographer, should utilize highly specialized equipment, and in coordination with other operational sections of the laboratory, produce detailed studies of minute evidence and supplement the reports of the laboratory.

Latent Fingerprint Section. This section, headed by an examiner, should develop, photograph, and lift latent fingerprints from items of evidence which have been brought to the laboratory, and classify and compare latents with suspect prints for identification.

Polygraph Examination Section. This section, headed by a polygraph examiner should provide polygraph examinations, upon referral, as an aid to investigators. These services should not be used as a substitute for competent investigations nor as a panacea for shortcomings in investigative skills. On a selected basis, examinations should be given in an effort to determine the truthfulness of statements made by a suspect, victim, complainant, informant, or witness in connection with a particular offense.

Crime Scene Examinations Section. This section, headed by a crime scene technician, should provide mobile laboratory vans and crime scene technicians upon request from local law enforcement agencies. The primary function of a mobile van should be to survey crime scenes by properly recording the scene in notes and photographs, detecting physical evidence, preserving it in its proper sequence, and interpreting the relation of the items and conditions found at the scene. The mobile unit should perform its functions for all types of crimes and police activities, and should also be responsible for the safe removal and disposal of bombs and recovered explosives.

Advantages of the Proposed Organization

The proposed organizational structure provides numerous advantages.

First, the organizational structure will form a state laboratory system that can be integrated into a national laboratory system should one be developed.

Second, modern organization and management principles have been applied in establishing the proposed structure, staffing the facilities, and recommending administrative and operational procedures.

Third, regional laboratory facilities have been provided throughout the state, each located in major metropolitan areas where population has a higher density.

Fourth, the proposed facilities will provide for statewide availability of crime laboratory services and upgrade the capability of all local law enforcement agencies.

Fifth, the proposed structure will provide the most modern techniques for analyzing evidence and for polygraph and crime scene coverage.

Under the recommended organizational structure, effective lines of communication will continue across the structure of the state system as well as directly across a future federal system. This communication can ordinarily be undertaken through normal staff conferences, and in a limited number of cases, through special staff conference arrangements. In the main, however, the regional laboratories should function through the normal command structure to the parent laboratory which enables the head of the agency to precisely establish responsibility.

There is no question that there is a critical need for criminalistic services and equipment in the State of Montana. Additional facilities should be established and more efficient methods of analysis utilized to properly handle the ever-increasing workloads of evidence analysis for the many law enforcement agencies of the state.

The decentralization of laboratory facilities and technicians throughout the state will permit more evidence to be received and processed. Agencies unable to take or send evidence to federal laboratories may prefer to send their items to a nearby state regional laboratory. Technicians can evaluate the items, and if more extensive or specialized examinations are indicated, arrangements can then be made to forward the material to other specialized laboratories without further efforts on the part of the contributor.

Recommendations

1. Support future adoption of a state crime laboratory system with regional branches as proposed in the text.
2. Support organization of the state crime laboratory and each regional laboratory into eight subsections as discussed in the text.
3. Support future adoption in each branch laboratory of a Crime Scene Examination Section, equipped with mobile laboratory vans and crime scene technicians to provide support upon request to all law enforcement agencies of the state.
4. Support improved crime scene investigations, evidence handling procedures, and crime laboratory examinations of evidence throughout the state.

X

UNIFORMED PATROL OPERATIONS

Police administrators are charged with the responsibility of protecting life and property, and providing a maximum of police services to the citizens of their community with a minimum amount of interruption. By far the greatest public safety losses to the people of the United States and most other countries stem from street and highway collisions and congestion. The highway patrol has a wide range of interests in highway transportation, having direct responsibility for traffic law enforcement, traffic direction, accident investigation, and traffic records. They also have an auxiliary interest in other aspects of traffic safety and regulation, for there is practically no street or highway traffic activity that does not to some degree affect the highway patrol in the pursuit of their objectives.

The traffic law enforcement function has been defined as the total police effort directed toward obtaining compliance to traffic regulations after programs of traffic safety education, driver training, traffic engineering, and similar activities have failed to reach this objective. The traffic law enforcement function involves all levels of operation within a police organization. Line or field personnel are, of course, directly involved in the implementation phase of traffic law enforcement through their contact with the general public. The use of special detection devices and the making and the issuance of arrests, warnings, and citations are activities performed by general or specialized line personnel designed to achieve compliance on the part of motorists and pedestrians.

Supervisory and administrative police personnel play a vital role in an effective traffic law enforcement program. Management has the responsibility for planning, supervising, training, analyzing traffic records, and securing necessary cooperation and liaison with other related groups such as the courts, engineers, and state licensing agencies. The importance and emphasis top management places on the value of traffic law enforcement has a major influence on the quality and level of service.

Middle management or supervisory personnel also play an extremely important role in the total traffic law enforcement process. Their understanding, enthusiasm, and interest in the goals and objectives of a traffic law enforcement program often spell the difference between success and failure. The importance of the manager's task of insuring the proper application and deployment of manpower at those locations and times identified as having high potentiality for the occurrence of traffic accidents cannot be overemphasized. Too often well-conceived programs fail due to a breakdown at this critical link.

The ultimate aim of traffic law enforcement is voluntary compliance with traffic regulations on the part of drivers and pedestrians, and to provide maximum mobility with minimum interruption. Enforcement activity should also be considered a process of educating the motorist into voluntary compliance with traffic laws. This educational process is most often achieved by creating an awareness of the consequences of violating traffic laws.

Section 1 - Operation of Patrol Forces for Traffic Operations

The Montana Highway Patrol's current limited manpower, geographical distribution and operational strategies does not provide the maximum effectiveness in traffic accident prevention desired by the administration. With the exception of the Accident Prevention Unit, the commanding officers do not receive the necessary data to schedule their respective patrol units to obtain the most effective results. Traffic operational training is very difficult to schedule with the current level of manpower and, therefore, in-service training ordinarily does not take place with any regularity beyond the recruit level.

In the year 1977, 10,780 or 49.6 percent of all accidents in the state of Montana occurred on interstate or rural roads. In 227 fatal accidents on rural roads, 284 persons were killed. Eighty-eight percent of all traffic deaths in the state occurred on rural roads. These are the types of highways upon which the Montana Highway Patrol has primary jurisdiction. Naturally, the type of highway has much to do with the severity of the accident. Higher rural speeds will produce more fatalities.

Traffic Enforcement Activities

On a statewide basis, in 1977 Montana Highway Patrol officers assigned to Divisions I thru VI made one arrest every 3.34 hours of total patrol time, issued a warning every 3.73 hours and made one contact every 4.21 hours. They drove 6,159,734 miles and made an arrest for every 57.99 miles driven, issued a warning every 64.91 miles and made other contacts every 73.22 miles. There was a total of 10,106 accidents investigated which accounts for 46.59 percent of the total accident experience in the state.¹ On a statewide basis, highway patrol personnel utilize approximately 50.7 percent of their time on patrol, accidents account for approximately 6.5 percent of their duties and report writing requires 5.6 percent of total on-duty time. The remaining time, 37.2 percent, is spent in activities which include courtesy service, directing traffic, driver improvement, inspection, etc.² The breakdown of activity is presented in Table 10.1.

¹Montana Highway Patrol, "Individual Activity Report Recapitulations, 1977."

²Montana Highway Patrol, Time Activity Reports, 1977, (6 month sample).

TABLE 10.1

PERCENTAGE OF TOTAL TIME BY ACTIVITY

<u>Activity</u>	<u>Percent</u>
Traffic Patrol	50.7
Accident Investigation	6.5
Report Writing	5.6
Other Traffic Activity and Services	37.2

Traffic Patrol Manpower Availability

The Highway Patrol has 152 patrolmen assigned to the 6 current divisions. An additional 21 officers are assigned to driver license examinations. Approximately 8.2 percent of the total hours spent on duty by all highway patrol officers is devoted to driver license examinations.³ During the calendar year of 1977, officers assigned to Divisions 1 through 6 and the Accident Prevention Unit spent a total of 354,838 hours on duty.⁴

Traffic Accident Experience

During the last several years the total number of accidents within the state has continued to escalate (see Table 10.2). Data available in the Montana Highway Patrol Annual Report indicates that more accidents occur on Saturday than any other day of the week, and in December more than any other month. Further, more fatal accidents occur on the weekends and during the month of August than at any other time.

There is no available information which allows comparison of accidents and citations. It would be most informative to chart the relationship between accidents by day and time of day and the traffic citations issued. This would allow some comparison between type and percentage of citations issued and accident experience.

³Ibid.

⁴Ibid.

TABLE 10.2

FATALITY ACCIDENTS, INJURIES, ACCIDENTS AND
PROPERTY DAMAGE ACCIDENTS BY LOCATION
1975-1977

<u>Deaths</u>	<u>Total</u>	<u>Interstate</u>	<u>U.S. Highway</u>	<u>State Highway</u>	<u>County</u>	<u>Local</u>
1975	248	22	120	53	30	20
1976	249	22	101	67	38	21
1977	261	44	86	70	44	17
<u>Injuries</u>						
1975	5,985	434	1,971	1,611	843	1,126
1976	6,223	416	2,007	1,743	890	1,167
1977	6,548	617	1,702	2,095	1,090	1,044
<u>Accidents</u>						
1975	12,505	700	3,525	2,912	1,548	3,821
1976	13,265	661	3,712	3,331	1,662	3,899
1977	14,896	962	3,367	4,422	2,014	4,131

Source: Montana Highway Patrol
Annual Reports

Enforcement Actions

During 1977, Highway Patrol officers issued a total of 116,024 citations.⁵ Of the citations issued, 94,114 or 81 percent were for various speeding violations. An additional 8,395 citations were issued for other hazardous moving violations, and the remainder were for equipment, licensing, and miscellaneous infractions of the motor

⁵Montana Highway Patrol Annual Report, 1977. Note: The Summary of Statewide Summons Activity is reported as 116,024. However, only 115,982 violations are categorized. "The 1977 Individual Activity Report Recapitulation" indicates only 107,239 total arrests for all divisions. Therefore, we have utilized 116,024 citations as the total number of traffic arrests throughout the report.

vehicle code. Alcohol usage plays a major role in traffic accidents and fatalities. In the summary of rural accidents in Montana in 1977, the use of alcohol was reported as a contributing factor in 1,085 cases. However, only 1,306 total citations issued were for DWI/DWD. This was a slight decrease (-79) from 1976, and was down -288 arrests for DWI/DWD from 1975.

National Maximum Speed Limit (NMSL)

The NMSL has been proven to be the single most effective life saving highway safety countermeasure to have emerged in recent memory. To permit any of its results to be disregarded through lack of interest or failure to operationally support it would be a disaster.

In August, 1977, the IACP, in cooperation with the Department of Transportation, released a report on the enforcement practices and procedures employed by highway patrols and state police in enforcing the NMSL. A questionnaire was forwarded to all agencies and the returns were tabulated to conclude enforcement practices and procedures being utilized. Twenty-four agencies supplied all the necessary information. Table 10.3 describes the experience of the Montana Highway Patrol compared with the reporting agencies.

TABLE 10.3

COMPARISON OF NMSL ENFORCEMENT ACTIVITIES IN
MONTANA WITH 24 OTHER STATE AGENCIES

24 Reporting Agencies	<u>Resulting Traffic Enforcement Activities</u>	
	Total traffic related arrests	7,673,842
	Total moving violations arrests	6,278,982
	Total arrests for all speed violations	4,372,387
	Total arrests for NMSL violations	3,522,314
Montana 1977	Total traffic related arrests	116,024
	Total moving violation arrests	102,511
	Total arrests for all speed violations	94,114
	Total arrests for NMSL violations	74,828

TABLE 10.3 (Continued)

Proportion of moving violation arrests to total traffic related arrests	
NMSL Study	Montana
81.8%	88.3%
Proportion of all speed arrests to total traffic related arrests	
NMSL Study	Montana
57.0%	81.1%
Proportion of all NMSL arrests to total traffic related arrests	
NMSL Study	Montana
45.9%	64.4%
Proportion of all speed arrests to all moving violation arrests	
NMSL Study	Montana
69.6%	91.8%
Proportion of all NMSL arrests to all moving violation arrests	
NMSL Study	Montana
56.1%	72.9%
Proportion of all NMSL arrests to all speed arrests	
NMSL Study	Montana
80.1%	79.5%

The above tabulations indicate that the proportion of NMSL violations issued in Montana to all other speed arrests is comparable with the 24 state agencies reporting. Highway Patrol officers are obviously issuing citations for violations of the NMSL. However, these data reveal that while enforcement of the NMSL is occurring, the total enforcement effort directed toward the reduction of accidents requires additional attention.

- (1) The proportion of speeding arrests (91.8%) compared to all moving violations indicates that greater attention is required in the enforcement of other hazardous violations.
- (2) The proportion of speeding arrests (81.1%) to total traffic related arrests indicates improvement is needed in the enforcement of equipment and other non-hazardous violations.

In comparison with data from the 1976 Annual Report, NMSL enforcement declined by a total of 5,350 between 1976 and 1977.

In 1976, speed was listed as a contributing factor in 2,854 rural accidents resulting in 1,270 injuries and 50 fatalities. In 1977, speed was a factor in 3,245 accidents with 1,375 injuries and 61 fatalities. However, arrests for speeding declined by a total of 4,790 and NMSL violations declined by a total of 5,350. Therefore, one might conclude that when total speeding arrests declined and NMSL enforcement dropped, the number of accidents where speed was a factor increased. This, of course, is a generalization and does not consider other factors such as increasing number of vehicles, drivers, etc. However, the fact remains that when enforcement declined, accidents, injuries and fatalities increased.

The decline in NMSL enforcement may be attributed in part to non-departmental influences. This possibility is further enforced by Section 32.2144.6 of the Montana Motor Vehicle Code, which states that a person shall be fined five dollars, that no record of the violation shall be recorded on the person's driving record, and that no insurance company shall hold an NMSL violation against the insured.

Non-Departmental Influences on Enforcement. Of the agencies responding to the NMSL study, those that reported difficulty with citizen and officer compliance with the NMSL cited the most common reasons as:

- No court costs or points unless exceeding the previous speed limit
- No points or any effect on insurance unless over the previous limit
- Maximum fine \$5 unless exceeding the previous limit

All of these factors are present in Montana at this time.

Community Support. While highway patrol officials in Montana report that citizens do not approve of the NMSL, they do report that citizens approve of the agency's enforcement policy. This is easily understood considering the legislative action cited above and the Highway Patrol's enforcement program.

The attitude projected toward the NMSL by some Highway Patrol officers (including several of command rank) tends to reinforce the conclusion that the 55 mph speed limit program is ineffective. The "Nickle" ticket is viewed by many as meaningless, while others regard it as a skillful way of reporting activity. The declining rate of speeding violations and the increase of speed related accidents and fatalities support this view.

The IACP has recently completed Phase II of a study on National Maximum Speed Limit Enforcement practices and procedures designed to measure productivity and cost effectiveness of NMSL enforcement. A copy of that study is being transmitted with this report for review by Highway Patrol officials.

The Accident Prevention Unit

The Montana Highway Patrol Accident Prevention Unit (APU) was formed in 1972. The primary purposes of this unit are to increase patrol visibility; reduce the accident rate in selected locations; reduce accident severity; reduce the number of moving violations; reduce the number of equipment violations; reduce the number of unlicensed drivers; and increase the public's awareness of the benefits of safe driving practices. The unit is formed with officers selected from divisions for limited special duty in the APU. A sergeant and a lieutenant are also on special duty.

The APU is the only field operation unit now fully utilizing the principles of selective traffic enforcement. All site selections are based upon accident data derived from statewide accident reports including:

- Number of accidents by type (fatal, injury and property damage)
- Average daily traffic
- First harmful event
- Road and weather characteristics
- Time of day; day of week

This information is obtained from the Montana Highway Information System.

The APU activity has proven itself to be extremely effective and cost justifiable. During 1977, the APU was responsible for 6 percent of the total number of arrests recorded and 12 percent of the total warning activity of the Highway Patrol. This was accomplished while traveling only 4 percent of the total Highway Patrol miles driven and utilizing only 2.7 percent of the total hours devoted to highway patrol duties.

Selective Traffic Law Enforcement

Selective enforcement is that part of a traffic safety program that involves the planning, directing, implementing, and evaluating of traffic law enforcement activity. The ultimate goal of selective enforcement is to reduce traffic accidents by systematically improving the manner in which available police manpower and equipment resources are used.

Maximization of resources is achieved through the scientific geographical and temporal assignment of personnel and equipment and the establishment of preventive patrol to deal with specific categories of unlawful driving behavior according to needs which are based on accident statistics, enforcement activity records, traffic volumes and other local traffic conditions.

Although selective enforcement schemes and rationales are sometimes complex and controversial, the classic definition as applied to traffic law enforcement is concise and to the point: Selective enforcement is enforcement which is proportional to traffic accidents with respect to time, place, and type of violation.

Some degree of selective enforcement frequently takes place, informally and usually unplanned, by road officers themselves. After a period of time, officers become aware of highways and areas where accidents are occurring and develop a general feeling for the types of violations that are causing them. Although some results are bound to accrue from such officer awareness, a well-planned and constantly supervised program is also necessary if optimum benefits are to be obtained.

Selective enforcement is effective. When efforts are systematically applied and adequately supervised, positive results always occur. When selective enforcement efforts are declared to be unsuccessful, an examination of the program will, in all cases, reveal a deficiency at the operational, supervisory, or planning stages.

The International Association of Chiefs of Police has developed a selective traffic enforcement program concept, and the core of that program is presented here with modifications considered necessary for adaptation by the Montana Highway Patrol.

An ideal approach, of course, is to deploy teams of enforcement officers to focus most, if not all, of their attention to a selective enforcement effort, looking for certain violations at certain times and at certain places. When consideration must be devoted to other calls for service and when overall road strength is already below authorized strength, then the effort and responsibility must be apportioned among all road personnel on a continuing basis.

Selective traffic enforcement must be considered a full-time job, around the clock, and for twelve months a year. Officers, through methods that will be described, must

be allowed to attend to other duties, but instructed that on the way to and back from other assignments, certain selective efforts will be practiced.

It is obvious that the complete elimination of traffic accidents is an unrealistic objective. The massive application of traffic law enforcement measures cannot prevent vehicle component failures, animals from running in front of autos, road washouts, and many forms of driver behavior resulting from inadequate training or a lack of intelligence. On the other hand, it is possible for police officials who are responsible for traffic law enforcement to reduce traffic accident rates through the judicious use of selective enforcement techniques applied by adequate and properly deployed manpower resources.

The standard definition of selective enforcement is phrased in easy-to-understand language. However, when too literally interpreted, it has frequently led to an overzealous, self-defeating application of the principle. Traffic law enforcement depends upon public as well as judicial acceptance and, as a consequence, it must be fairly applied. The spectacle of uniformed officers hiding around corners or behind signboards cannot be justified under the guise of selective enforcement.

The selective enforcement principle must also be examined and interpreted within the total context of today's environmental problems. The use of generalists, specialists, or teams is an increasingly critical decision bearing on the effectiveness of selective enforcement programs.

The key elements of a selective traffic enforcement program include:

- Traffic Accident Data Base
- Traffic Accident Analysis
- Training for Selective Enforcement
- Technical Implementation

Each of these elements is addressed individually in the following sections.

Traffic Accident Data Base

Nearly everyone concerned with traffic safety agrees that there is a need for better accident statistics. The research efforts of police traffic management to establish relationships between enforcement programs and vehicle accident experience are often handicapped by imprecise methodology and inadequate vehicle collision data.

There is no question that the Montana Highway Patrol has the expertise to administer an on-going statewide selective enforcement effort. The proposed Special Enforcement Units of the Field Operations Bureau with support from the Traffic Analysis Unit and the appropriate subunits of the Technical Services Bureau could administer a highly successful program.

Such an effort, however, must have support from the highest levels. Current and relevant data must flow regularly from the Traffic Analysis Unit and the Technical Services Bureau. The Traffic Analysis Unit must constantly monitor the statewide effort and forward recommendations to field commanders. Field commanders must constantly see that field efforts are properly directed, and field supervisors must supervise.

Accident Investigation Responsibility. The application of selective enforcement in a reasonably sophisticated form does require the development of a sound data base. To achieve the essential facts, vehicle collision reporting levels must be kept reasonably constant. Too often the number of accidents reported in a given jurisdiction will be a product of the interest and/or resources devoted to accident investigation activity.

There is also an ever-spreading police crisis which is increasingly impacting systems for the collection and analysis of accident facts. The problem faced by police management responsible for traffic safety is how to assign priorities to competing demands for public service.

Accident Investigation and Reporting. Traffic accidents can be either reported or investigated. Obviously, the amount of time expended in any police investigation should depend upon the seriousness of the crime or incident. Accordingly, the approach to a minor "fender bender" as opposed to a fatal accident can be compared to the difference in investigative attention given to a simple battery versus a homicide. Administrative instructions which outline a clear separation between reported and investigated accidents and provide streamlined reporting methods are a necessity in the real world of urban policing. All known accidents should be reported.

Traffic Accident Analysis

Traffic accident analysis should never be considered a part-time activity. Traffic patterns, accident rates, and violation levels are dynamic in nature and, as a result, must be continuously studied. The traffic administrator, through this staff activity, should be provided with regular reports which will enable him to identify enforcement problems and deploy manpower effectively.

The size of a jurisdiction and the number of accidents occurring within its confines will affect the choice of a data processing method. In all police-oriented analyses of location, time, and violation factors in vehicle collisions, it is necessary to work

with a numerically significant quantity. In rural or suburban areas, it may be necessary to base these studies on annual accident experience. As traffic densities and accident rates increase, however, the reporting period will necessarily become compressed. In most urban areas there are sufficient numbers of accidents reported to justify a monthly reporting cycle.

Analyses based on monthly reports permit adjustments for radical changes in traffic patterns due to the seasonal influence of tourism, weather extremes, or spectator sport activity.

Analysis by Time. The procedure for establishing optimum deployment patterns for selective enforcement is the same for both large and small police agencies. Although the data collection methods may range from hand entries on tally sheets to third-generation computer programs, the first step, tabulating the hours of occurrence, is the same in all systems.

Traffic accident frequency patterns are uniquely related to the day of the week. For this reason, accidents occurring on Monday should never be compared with accidents occurring on Tuesday, Wednesday, etc. It is more appropriate to consider all accidents occurring on Monday as falling into a distinct category, and so on with the other days of the week. It is sometimes simpler, for purposes of statistical analysis, to consider the distribution of accidents by the hours of the week—168 hours—rather than on a daily basis. The Montana Highway Patrol is not presently plotting accidents and enforcement frequency by day of week.

The department deploys nearly all of its patrol troopers as generalists and, therefore, must consider all demands for services when analyzing temporal deployment needs. Incidents should be charted for each district by hour of day and day of week. This should be required by the highest levels of departmental authority, and regularly reviewed by the proposed Field Operations Bureau commander, the area commanders, and Traffic Analysis Unit. The division commander can then design his shift arrangement and assign units so that the number of officers on duty is proportional to the incident distribution curve.

Frequent rotation of men from one shift to another, generally every two days plus many overlapping shifts on all days, makes it extremely difficult to determine an exact division, or departmental, manpower scheme for a specific day or days. By observation and interview, however, it appears that approximately one-third of available manpower is on duty at any given time.

Analysis by Location. The second procedural step in organizing traffic accident data is to plot the location patterns. The information gained is then used to determine beat assignments for units with responsibility for traffic law enforcement. While some division commanders have utilized pin maps to plot accident location patterns, others have discontinued their use usually because of lack of trooper interest. Few pin maps were observed during the site visits. These are useful tools in a selective

enforcement effort, particularly in smaller areas such as a post. For a statewide effort, however, data processing resources can conserve man-hours by programming location and other printouts.

Analysis by Type. The concluding procedural step in analyzing traffic accident reports for selective enforcement purposes is to identify, categorize, and tabulate the types of violations causing accidents. Some experts are inclined to engage in semantic debates over the proper definition of "causal factors." Terms such as "proximate, mediate, and ultimate" are used to label accident causes. Delayed perception or inattention have also been employed to identify the triggering element in a collision. All of these expressions have some value, particularly in the investigation of accidents. None of the terms, however, rests on firmer theses than the following statements concerning traffic law violations as a causal factor in accidents:

- Compliance with traffic laws can be reasonably defined as driver behavior suited to the driving environment.
- A driver's obedience to signs, signals, and other regulations governing the operation of a motor vehicle clearly facilitates the use of evasive maneuvers to avoid an accident whenever a hazard develops.
- The threat of enforcement action and subsequent sanctions inhibit the intentional violation of traffic laws by drivers.

On the basis of these statements, it can be concluded that there is a cause and effect relationship between driver violations and vehicle accidents. The first two steps in accident analysis provide the information necessary to deploy manpower intelligently. The last procedure makes possible the identification of enforcement actions which will yield the greatest returns by modifying accident-causing driver behavior.

In-depth analysis and control of the selective enforcement program also necessitates the maintenance of accurate activity reports for each traffic officer. The information from the activity reports should be arranged in a format that can be compared with accident data. Data processing techniques can easily convert the officer's activity report into useful reports reflecting type and time of enforcement action taken. The distribution on these reports can be directly compared to the time of accidents and type of violation involved. Daily activity reports are discussed elsewhere in this text.

Standards. For years, professional police administrators have tried to establish a set of standards whereby the effectiveness of their traffic law enforcement programs can be measured. This admirable objective has not yet been attained, and there is reason to believe that easy-to-use rates or formulas for enforcement evaluation purposes will always have limited validity. The measurement of cause and effect in any situation involving human, mechanical, and environmental factors is an enormously complicated task. If selective enforcement studies are to mean anything, they must be managed by trained and experienced personnel utilized on a full-time basis.

Rates. While it is true that some rates have been articulated by traffic safety professionals, the scale of measurement is merely the product of an official consensus based on empirical observations and subjective experience. Most texts, when quoting the rates, disclaim their validity as standards by stating that they represent generally the best informed opinions.

The enforcement index is expressed as an equation:

$$EI = \frac{\text{Conviction with penalty for hazardous moving violations}}{\text{Personal injury and fatal accidents}}$$

The minimum effective index is declared to be 20. In theory, the index is set at a point where additional enforcement fails to produce a corresponding decrease in motor vehicle accidents. This is assumed to be the point of diminishing returns beyond which the application of enforcement is not warranted.

It was impossible to obtain conviction data anywhere within the state. For this reason, an enforcement rate was utilized. This is expressed as an almost identical equation as the index, with the absence of the penalty factor. The rate will always be higher than the index, because some violators will not be convicted.

One problem severely limits the usefulness of the enforcement index and enforcement rate—it presumes a cause and effect relationship without due consideration of other factors which influence traffic accident statistics.

TABLE 10.4

STATEWIDE ENFORCEMENT RATE
1976-1977

<u>Enforcement Rate</u>	<u>1976</u>	<u>1977</u>
Hazardous Moving Violation Citations	105,615	102,509
Fatal and Personal Injury Accidents	9,628*	10,130*
Enforcement Rate	10.96	10.11

Source: Montana Highway Patrol Annual Report

*Use of statewide data

TABLE 10.5

RURAL ACCIDENTS ONLY
1977

Hazardous moving violations	102,509
Fatal and personal injury accidents	4,380
Enforcement rate	23.40

1976

Hazardous moving violations	105,615
Fatal and personal injury accidents	4,068
Enforcement rate	25.96

Source: Montana Highway Patrol
Annual Report

Summary of Motor Vehicle Traffic Accidents

Conviction Rate. The standard conviction rate for accident and on-view arrests and citations is set at 95 percent. Although this is very high, it is usually attainable wherever the court system gives appropriate attention to traffic problems by creating a sufficient number of special courts to handle the volume of traffic cases. If the rate drops below the standard, it can mean that officer training in courtroom presentation is needed. It can also mean, of course, that for a variety of other reasons the courts are not convicting. Unfortunately, conviction rate data is not available.

It must be acknowledged that the "rates" discussed above have only a limited utility, and they cannot be considered validated standards. Safety officials who continue to seek "standards" which would provide an easy way to measure their traffic enforcement efforts must reconcile themselves to the fact that such standards do not exist. States, cities, police policies, training, resources, weather, roads, traffic densities, and laws are not standard from one jurisdiction to another. Any attempt to establish criteria, rates, etc., which would be valid for comparison purposes is predestined to fail.

Training for Selective Enforcement

Selective enforcement training courses should not be limited to elements of traffic law violations and apprehension techniques. Instruction in the following areas should be included.

Drinking Driver. A tragic correlation has been shown to exist between intoxicated drivers and fatal traffic accidents. A high priority should be given to training of officers who handle violators who are under the influence of alcohol. The curriculum should be designed to develop a thorough understanding of the necessary law and procedures, in addition to specific information which will help the officer recognize a drunk driver. The observable indications of drunkenness are sometimes subtle in drivers whose ability to drive is definitely impaired. The role-playing technique and controlled drinking experiments are very useful in training officers to spot drinking drivers with impaired judgment.

Driving under the influence of liquor (DUIL) training is discussed at greater length in another section of this report.

Accident Investigation and Diagramming. Instruction should include methods and procedures to be employed in investigating traffic accidents. Such topics as parking at the scene, questioning witnesses, observation of drivers, checking of vehicles involved in accidents, checking the roadway, observation of signs and signals, and taking of measurements are important training areas. Special emphasis should also be placed on the proper completion of accident reports.

Traffic Direction and Control. A course covering the mechanics of traffic direction and control should include field training under the direction of an experienced officer.

Stopping and Approaching Violators. The safety of the traffic officer has been greatly jeopardized by ever-increasing traffic densities. Hostility growing out of social turmoil is also a serious personal safety consideration. Instruction must therefore be given in the proper methods to be followed when stopping a suspected traffic violator or a misdemeanor or a felon who is driving a vehicle.

Traffic Engineering. Although traffic engineering is a profession which demands the completion of a technically oriented rigorous college education, there are suitable training materials written in easy-to-understand language which can provide officers with an understanding of basic traffic engineering problems and solutions.⁶

Very often, substandard signals, signs, or pavement markings may be primarily responsible for an unusually high accident experience in a particular location. Failure to give due consideration to such factors can lead to faulty interpretation of vehicular accident statistics by officers involved in selective enforcement. For these reasons, traffic engineering concepts should be a part of the traffic officer's education. In police jurisdictions which do not have support from a qualified traffic engineer, the

⁶Association of Casualty and Surety Companies, Manual of Traffic Engineering Studies.

inclusion of highway engineering principles in the training program is absolutely essential to the development of sound selective enforcement programs.

Essentials of Enforcement Training. Traditional traffic law enforcement training methods have emphasized technical aspects of the function. Today's social conditions, however, clearly reflect a need for increased attention to the friction potential in officer/violator contacts. The objective of a good training program must be to develop traffic officers who are:

- Motivated to do the job
- Technically competent
- Human relations oriented

Technical Implementation

Visible Patrol. Traffic patrol for selective enforcement should be visible patrol. Although justification for concealment or the use of unmarked vehicles may exist for certain situations, rationales for the use of unmarked cars for general traffic enforcement patrol are not readily accepted by the motoring public. Visible patrol is a proven deterrent to the potential accident-causing violator. It also makes the officer easily accessible to motorists needing assistance.

Electro/Mechanical Speed Measuring Devices. Radar and other electronic or mechanical speed-measuring devices have been a boon to traffic law enforcement. Their relative infallibility has led to both public and judicial acceptance insofar as accuracy is concerned. Agencies using modern equipment to apprehend speeding drivers have benefited greatly by a reduction in the number of court appearances by officers.

Enforcement units with speed measuring devices should primarily be assigned to routes where the rising accident trend is accompanied by a persistent pattern of speed violations. If sustained radar enforcement (one to two months on a high accident route) fails to markedly reduce the number of violations, the help of a traffic engineer should be obtained. Some officers assigned to radar enforcement with explicit assignment directions will maintain their productivity levels by "milking" locations (i. e., radar enforcement for brief periods in areas which generate moderately high speed patterns for many years). This technique is not selective enforcement, and it should be discouraged by traffic supervisors.

The Montana Highway Patrol should adopt a statewide selective traffic law enforcement program as recommended in the preceding pages.

Drinking/Driving

Montana's accident experience with the drinking driver is consistent with that experienced in most other states—about one-half of all fatal accidents involve a driver or drivers who have been drinking.

It has been the experience of IACP staff in the field that on a nationwide basis, the detection of high blood alcohol content (BAC) drivers is very good, while detection of borderline BAC drivers is generally poor. The reasons for this are obvious. Drivers having a high BAC (for example, .18 percent and more) are usually extremely erratic in their actions and are obvious from a great distance. Drivers with borderline BAC (.08 percent to .12 percent) are not nearly as obvious in their actions nor are they as easy to detect. Their appearance or driving will, however, usually exhibit some clues, subtle as they may be. Although legally under the influence, many are virtually undetectable to all but an experienced officer.

Statistics are no longer available concerning the number of suspected DWI's tested. However, the number of arrests for this offense has dropped each year since 1975, the last year when this data was reported in the Annual Report. It is believed that any agency may consider its DUIL program to be effective when a significant proportion of drivers detected and apprehended do not fall in the obviously inebriated category, but rather are slightly above the legal limit. That is to say, not "drunk" in the commonly accepted sense but "under the influence" in the legal sense.

It is recommended that all Highway Patrol officers be rotated through a three- to five-day alcohol countermeasures training course. The training course should be coordinated and conducted by the department's Training Division.

The course should include, but not necessarily be limited to, the following subject areas:

1. Alcohol and the human body
2. Police officer attitude and the DUIL offender
3. Identification of the DUIL offender
4. Methods of apprehending the DUIL offender
5. Alcohol enforcement countermeasures

6. Relationships of police management planning of alcohol counter-measures to line officer functions
7. Statutory law and judicial interpretation
8. Police functions and the referral process
9. Police responsibility for reshaping public attitude

Police Traffic Training

There are four areas of police training that are generally considered to be essential—recruit, in-service, advanced, and roll-call.

On traffic-related subjects, it would seem desirable to provide periodic in-service refresher courses to all road personnel in some areas previously covered at the basic recruit level such as:

- Court functions
- Detention and custody
- Laws of arrest
- Rules of evidence
- Search and seizure
- Auto theft
- Field interrogation
- Accident investigation
- Motor vehicle law

- DUIL enforcement
- Motor vehicle code
- Motor vehicle law philosophy
- Prosecution in accident cases
- Traffic direction and control
- Techniques and methods of traffic law enforcement

The above-suggested topic areas are not intended to be all-inclusive. In-service refresher training should be conducted on a district basis and, once priorities are determined, several of the above areas could be covered in a two-, three-, or four-day refresher training session.

The refresher course curriculum should be fairly easy to develop, and the short duration of the courses would assure that most officers would be involved.

Roll-Call Training. Roll-call training is perhaps one of the more critical areas of police training. Its advantages are many. The number of subject areas that can be covered are limited only by one's imagination. Officers are generally receptive to this method of training because the sessions are of short duration. Information can be disseminated in a timely manner without waiting for the next scheduled formal classroom session, which could be months away. It provides the supervisor with officer feedback when new policies and procedures are the subject of the training. It can be as formal or as informal as the sergeant or district commander wishes it to be, although it is ordinarily conducted informally.

The materials available for roll-call training are inexhaustible and the sources numerous. Policies, procedures, rules, and regulations can be discussed. Monthly bulletins and materials such as the IACP Sight/Sound filmstrips and Training Keys are in abundance and are relatively inexpensive.

Unless directed otherwise by higher authority, roll-call training can be tailored exclusively to a district commander's own needs or to the needs of a particular shift.

Video or audio tape can be utilized by administrative and command personnel when information must be widely and quickly disseminated and when it is imperative that misinterpretation not take place. Video and/or audio tape can also be utilized to record lectures to be retained by the department for future use.

Recommendations offered regarding shift stabilization, if implemented, will make roll-call training much simpler to administer. Shifts will then be reporting for duty as a unit.

The Training Division should establish guidelines for roll-call training with approval by higher authority. The Training Division should further examine the feasibility of strengthening in-service training efforts within the areas discussed. This could easily be incorporated into an on-going in-service officer school program.

Roadside Hazards

Montana reported 17.26 percent of all accidents in 1977 as being involved with a fixed object or "roadside hazards." The figure could be low. Many "ran-off-roadway and overturned" accidents may not be listed as "fixed object" accidents even though they may, in fact, be just that. In cases where ran-off roadway is recorded as the first hazardous event, but where the vehicle collided with a fixed object which caused the actual damage, this should be recorded.

A generally accepted definition of roadside hazards is "all physical features of the roadside which are such that a vehicle leaving the road surface for any reason, even momentarily, can impact with them or overturn, resulting in unnecessary damage to people or property. These hazards include fixed objects, both natural and man-made, such as trees, rock formations, utility poles, rigid sign and light posts, spear-like guardrails, unshielded gore areas and bridge supports, as well as ditches and embankments."

An amazing aspect of the problem of accidents involving roadside hazards (not unique to Montana) is that these crashes involved obstacles that could have been easily removed (such as trees, rocks, culverts, mailboxes) long ago at relatively small expense. Furthermore, many of the hazards were actually engineered into the highway system, such as exposed end guardrails, non-breakaway light and sign posts, and concrete abutments. What this suggests, of course, is that a complete inventory of roadside hazards be conducted.

We suggest that Highway Patrol personnel are the logical people to undertake an inventory of roadside hazards. Most roadside hazard accidents occur in areas patrolled by the Highway Patrol, and police officers are more aware of these types of hazards than perhaps any other group.

Recommended Program

The following is a suggested sequence of events that could lend to the implementation of a roadside hazard effort. IACP has experience in developing such programs and would be available, upon request, to assist in any of the following areas.

Meet with highway officials to discuss the feasibility of a cooperative police-highway department roadside hazard effort. Discussion would include police responsibilities (reporting and supervising) and highway department responsibilities (reviewing reports, locating hazards, assigning priorities to hazards, corrections where feasible, and feedback to police). Determination should be made at this point if it is to be a statewide effort or if a smaller area (such as a police district) is to be chosen on an experimental or demonstration basis.

Design a reporting form that could be used as a supplementary form at a roadside hazard accident scene or as a routine patrol hazard reporting form. Determine routing from patrol officer to patrol supervisor to patrol district to highway district to priority assignment for corrective action and back to the Highway Patrol. It is very important that the original reporting officer be informed of action taken so that he is constantly reminded that this is not merely another paperwork exercise.

Train officers in detecting and reporting roadside hazards. This training could be accomplished in two or three days, including one-half day for a "trial run" of reporting hazards while under observation. It should be designed and conducted jointly by Montana Highway Patrol and the highway department.

Course content could include:

- Overview of problem
- Demonstration or experimentation concept
- Role of Highway Patrol
- Role of highway department
- Procedures

Identification

Reporting

Data flow, storage, and feedback

- Field exercise

Implement program on a district or statewide basis. Hazards should be reported by troopers while on routine patrol as well as at accident scenes, utilizing the supplementary form.

Evaluate efforts jointly with the Highway Patrol and highway department personnel.

Decide, based on data collected, whether to implement the effort statewide, if not already done.

Annual Report

The present system of reporting all known accident data in the Montana Highway Patrol Annual Report has some validity. However, it would be more useful if the Annual Report of the Highway Patrol was a separate document. This would enable interested persons to determine the activity of the Highway Patrol without sorting out what was accomplished by other police agencies. A combined statewide accident information report should continue to be developed and distributed.

Additional information, i. e., traffic arrests by type and time, conviction rate, alcohol related arrest information, and a summary of the traffic safety program evaluation should also be included.

Recommendations

1. Implement efforts to regain the NMSL enforcement effort realized in 1976. It is understood that the current levels of personnel does not lend itself to total NMSL enforcement and to other hazardous violations which cause accidents. However, with the organizational structure recommended in Chapter II, the judicious assignment of special enforcement units, and the understanding reached through in-service training, the enforcement of the NMSL can continue to be effectively enforced in Montana.
2. Review phase II of the National Maximum Speed Limit enforcement practices and procedures study and implement these measures that are applicable to the State of Montana.
3. Undertake efforts to change Section 32.2114.6 of the Montana Vehicle Code.
4. Implement efforts to increase enforcement of all hazardous traffic violations through training and special enforcement action.
5. Implement a selective enforcement program throughout the state as described in the text, utilizing an enforcement index to determine its effectiveness.

6. Develop training for selective enforcement as described in the text.
7. Continue and expand the use of radar speed detection equipment.
8. Develop the alcohol countermeasures program as discussed.
9. Provide periodic in-service refresher courses on traffic related subjects.
10. Initiate a roadside hazard inventory and reporting system, as discussed above.
11. Re-design the Highway Patrol Annual Report to include only those data which reflect the activity and enforcement action of the Patrol.
12. Continue to report statewide accident information in a separate document.

Section 2 - Patrol Organization and Administration

Present Organization

The present organization of the operational force of the Highway Patrol is analyzed in Chapter II, Organization and Span of Control. It has evolved from a small force of 24 officers which began law enforcement operations in May, 1935, to its present size and configuration through a process of growth and the addition of various responsibilities and scientific technologies. Throughout the many organizational changes that have occurred, however, the initial objective and purpose of the Patrol has not been altered. The main objective remains the expeditious flow of traffic through the state with a minimum of property damage and loss of life.

Present Organization of Field Forces

The present field operations force is commanded by the deputy chief stationed in Helena. There are six divisions, each commanded by a captain, all of whom report directly to the deputy chief. In each division, there are substations under the supervision of a sergeant or an officer, depending upon its size and geographical location.

The deputy chief, because of headquarter commitments, is unable to visit his districts on a regular basis. In addition to his responsibilities to the field forces, he is responsible for many administrative functions which detract his attention from the current Traffic Patrol Section. His span of control is too broad and the chain of command

has too many links for this person to effectively administer and command the field operations. Therefore, the division captains are given a great deal of latitude in the administration of the various departmental programs and traffic enforcement policies.

Division Supervision

The division captains assigned to each station are responsible to the chief of the Highway Patrol for a variety of assignments which are outlined in the Operations Manual. While the Montana Highway Patrol has over the years developed many able commanders, it has failed to provide, through training, effective utilization of command personnel. At the present time, the division commanders are operating in a supervisory posture rather than executing command responsibilities. There are very few commanders, for example, who conduct regular or periodic analysis of accident data within their command. The division commander does not have the prerogative of shifting personnel from patrol areas with limited activity to those with more immediate need for additional manpower without approval from the deputy chief. There is no evidence that all division commanders have established formal levels of acceptable performance within their commands. Very rarely does the captain issue formal written directives to personnel in his command relative to operational or enforcement problems or policy. Occasional memorandums under the captain's signature are found relative to training programs, assignment to the Special Enforcement Unit, or regarding holiday policies.

The division captains' duties at the present time are more in the nature of supervision of the district office. The job description of the captains in the Operations Manual is listed as "Division Supervisor."

Assistant Division Supervisors. The lieutenants assigned to each division station are charged with assisting the captain in carrying out his responsibilities, and to assume the authority and responsibility of the division in the captain's absence. In reality, however, the lieutenants assigned to the division exercise very little command responsibility. They are performing public relations functions and acting as training officers. However, since their on-duty time usually parallels the captain's, it is not often that they are required to engage in command responsibility.

District Supervisors. The sergeants assigned to each division have far greater responsibility than supervision and training of their men. They are currently performing many functions such as assignment of personnel, scheduling, school bus inspection, and selective enforcement responsibilities, which detract from their primary supervisory function. They are overburdened with administrative work which removes them from the field where observation and evaluation of personnel performance should be taking place.

Purpose of Organization

The organization must be viewed as a dynamic and human system. In order to design a complex structure it must be broken down into four basic parts:

- Tasks - what we do
- Structure - Broad permanent framework with arrangement processes in some sequence and hierarchy
- Tools - Technical and administrative
- People - Command, supervisory and operational

When any of the four basic parts of organization begin to show stress, change must follow if the organization is to continue to function effectively. Each of the four parts, as they affect field operations in the Montana Highway Patrol, are showing signs of stress.

- Tasks: The tasks of the Highway Patrol are becoming more complex. Federal requirements such as the NMSL, new legislation, additional responsibility such as assistance in traffic engineering problems, compliance with NSC reporting, selective enforcement measures, etc., have increased the responsibilities of the Highway Patrol.
- Structure: The current structure of the organization is not designed to give the necessary attention to the various functions in order to operate smoothly.
- Tools: The tools in traffic law enforcement are changing, not only in the technical sense, but the administrative tools such as selective enforcement, traffic indexes, rates, educational programs, etc., as well.
- People: Perhaps more than in any other element of the organizational structure, the personnel itself is changing. There is a decline in the old experiential theory. Today, the young members of the organization are being listened to more frequently. There is a decline in the time required for promotion, there are more college educated personnel, and there is more emphasis on the theory of participatory management.

Proposed Organization

The proposed organization of the Field Operations Bureau is shown in Chart 2.2. The bureau should be commanded by a lieutenant colonel and subdivided into an Operational

Programs Section, a Traffic Analysis Unit, a West Area Field Command, and an East Area Field Command. The East and West Area Field Commands should both be staffed by a major. Each area field command will be subdivided into patrol districts. Each district should be commanded by a captain charged with the patrol responsibility for one particular geographical area. Each patrol district will have a post substation under the direct command of a lieutenant.

Personnel should be assigned on a permanent basis to patrol beats within each district. A climate of permanency applied to each patrol officer's area of responsibility can result in far more efficient patrol coverage of that area.

Field Operations Bureau Commander. The office of the Operations Bureau Commander will be responsible for all activities performed by the Montana Highway Patrol to assist in the safe and rapid movement of persons and goods on the state's streets and highways. More specifically, the operations bureau commander will be responsible for highway traffic supervision.

The responsibilities of highway traffic supervision include traffic accident investigation, traffic law enforcement, traffic direction and control, and general motorist services. The management mission of this office will also include all of the traditional administrative tasks of planning, organizing, staffing, training, directing, coordinating, reporting and budgeting of programs and policies, designed to carry out the functions and tasks performed by officers assigned to police traffic responsibilities. The following list identifies and briefly defines the seven basic functions which comprise police traffic responsibilities:

<u>Function</u>	<u>Functional Basis or Definition</u>
Traffic law enforcement	Moving violation control
Traffic control and direction	Affects traffic flow directly
Traffic accident management	Activity connected with accidents only
Ancillary services	Activity or service indirectly affecting traffic flow
Support	Any activity in support of field traffic functions
Justice system interaction	Non-traffic related activity such as criminal apprehension
Regulatory activities	Regulation of driver/vehicle status (GWV, fuel permit, etc.)

The field operations bureau commander will be assisted in his assignment by the Operational Programs Section, a Traffic Analysis Unit, a West Area Field Command and an East Area Field Command.

Operational Programs Section (OPS). This section, which will be staffed by a lieutenant, will be responsible for assisting in the administration of all operational programs. In the Summer Employment Program, for example, this office, in cooperation and coordination with the Traffic Analysis Unit and Research and Development Section, will select sites, gather enforcement data relative to the operation of the program, and evaluate and make suggestions for alteration for greater effectiveness and efficiency. The OPS will also work in close cooperation with the Highway Traffic Safety Division in the execution of the Annual Work Program.

In those cases where the Research and Development Section suggests new programs for highway safety or enforcement action, the OPS will serve as the coordinator between division and area commanders in the planning, implementation, and evaluation stages; will design information gathering processes; and will direct and coordinate the programs. This office will also assist the Special Enforcement Units proposed in each area command.

In addition, this Section should assume many of the responsibilities now assigned to the Safety and Education Section, including the distribution of safety pamphlets and literature, public school programs and information on such automotive safety devices such as airbags, restraints, etc.

Traffic Analysis Unit

The Traffic Analysis Unit's responsibilities and assignments were addressed in the Organization and Span of Control, and the Management and Administration chapters of this report.

Area Special Enforcement Unit. The sergeant assigned to this unit will be trained in selective enforcement practices and procedures, and will assume the direction of officers assigned to temporary duty with this group. When not engaged in directing special enforcement action, he will assist in such assignments as school bus inspections and public relations and information assignments, and will also act as liaison between area commanders and division commanders with regard to special programs initiated by the Operational Program Section.

East and West Area Commanders. The area commands will be divided into various districts, which will be divided into posts and squads. Specific recommendations on the subdivision are found elsewhere in this report. The area commanders will be responsible for all operational law enforcement functions of the Highway Patrol in their area, and will exercise full responsibility over all assigned personnel. The operational command and supervision of personnel will remain with their respective division commanders. Area commanders will coordinate all inter-bureau personnel relationships within their area commands.

In addition, area commanders should be responsible for the establishment of policy and programs designed to increase the efficiency of field personnel and to carry out the directives and instructions of the bureau commander. They will hold periodic meetings with division and post commanders to assure compliance, broadcast information, and improve the internal communication network. They will establish procedures which will assure proper reporting from district and post commands.

The establishment of area commanders will assist in narrowing the current span of control and assure closer direction over various aspects of the Field Operations Bureau.

Division and Post Commanders. Division and post commanders will be responsible for all operational law enforcement assigned to the Highway Patrol within their respective commands. Their primary duty will consist of planning, organizing, and evaluating district programs designed to decrease accidents and improve the quality of enforcement in their commands.

Recommendations

1. Organize and staff the Field Operations Bureau as recommended in Chapter II and shown in Table 2.2.
2. Assign functions and responsibilities as discussed in the text.

Section 3 - Administration of Field Forces

Span of Control

Field personnel are currently apportioned among six Highway Patrol divisions under the command of a captain, with a lieutenant as assistant division commander. Each division consists of several thousand square miles.

Effective command practices cannot take place without regular face-to-face interaction with subordinates. Because of infrequent contact with headquarters and division command personnel, the Highway Patrol officer is dependent to a great degree on information that is filtered down through the district sergeants. At the command level, this has heretofore been handled between the chief and deputy chief and the division captains with quarterly staff meetings. And, the division captains do hold scheduled division staff meetings. However, within the existing uniform division regular formal face-to-face interaction is not a routine practice between the headquarters and division levels, although parties expressed convictions that such interaction is vitally important.

This situation has created some isolation between command and operating personnel. The suggested organizational restructure of the operating divisions will do a great

deal to alleviate the span of control at this level. Problems at the lower levels are discussed in the following paragraphs.

Internal Communications

Modern management theory indicates that work groups are more effective when leadership is exercised by persuasion rather than by command. Further, many experts contend that effective work is accomplished first by individuals and then by groups, and that individuals working in groups perform more effectively when each understands the objectives of the group and understands his work and his teamwork responsibilities. What is not widely realized is that communication is the primary vehicle for providing this insight and understanding. Proper communication is the key to departmental effectiveness:

- It will greatly aid the achievement of departmental objectives.
- It will increase the level of performance and favorably affect the morale of all employees.
- It will help keep management informed of employees attitudes and reactions to managerial decisions.
- It will significantly reduce resistance to change.
- It will increase employee confidence in managerial decisions.

Communications Defined. The various communication habits or practices of police managers indicate that there are a variety of definitions of communications. Communication by some is seen simply as the transmission of information. Others see it as the sending and receiving of a message, and still others see it as an exchange of meaning. These definitions are perhaps suitable for some purposes, but are inadequate definitions of communication for the purposes of police managers. Keeping in mind that the total of managerial effort is the attainment of departmental objectives, then communication more appropriately defined is any initiated behavior on the part of the sender which conveys the desired meaning to the receiver and causes desired response behavior from the receiver.⁷

A primary component of communication is the thought preceding it. Too frequently we attempt to communicate, especially orally, without thinking about the objective of

⁷Willard V. Merrihue, Managing by Communication (New York: McGraw-Hill Book Company, Inc., 1960), p. 87.

the message, whether or not it will contribute to the department's goals, how it will affect the intended receiver, and how he will perceive it. Most likely we have all said at one time or another, "I wish I hadn't said that." To obtain the desired response, a manager must not only think about the above-mentioned factors, but should also develop a sympathetic understanding of the aspirations and attitudes of those to whom he directs his message, regardless of whether it is oral or written.

The Formal Communication System. The formal communication system is responsible for carrying official information in flow paths that conform to the organizational chart. Information that is originated by the manager can be carried to any or all parts of the organization, and conversely, information originated in any part of the organization can be carried to the manager. Initiators of communication communicate with those either directly below or above them or laterally with associates as plotted by the formal organizational scheme. Ordinarily, when it is found necessary to deviate from the chain of command by communicating at a level above or below the immediate superior or subordinate, organizational propriety and courtesy are maintained by informing the level by-passed of the action taken. The formal communication system is essential to all organizations. Policies, procedures, orders, and directives must be transmitted within this system to maintain the principle of accountability and to exercise control.

Downward Communication. Information initiated by top police administrators or mid-managers and directed to subordinates follows the natural course of gravitational pull—downward. When managers insert information into the communication system, they fully expect the information to be transmitted to all subordinates that it is directed to and in its original form. Perhaps, not so surprisingly, this seldom occurs. As the information proceeds along the downward path, it undergoes a certain change process as it passes the various levels of communication centers of the organizational structure. As administrators, managers, supervisors, and finally troopers process the information, they also interpret it, dilute it, apply filters, and in many cases distort it. When passing on information, managers inevitably process the information, consciously or unconsciously, through personal filters according to how they perceive the organization, their role, and their subordinates. Sometimes it is not appropriate for managers to apply filters to information. It is very important for managers to be aware of the influence they can exert on communication and to check to be sure that their influence is exercised in accordance with the objectives of the communication and with the objectives of the organization. Filters should be applied seldom and very selectively.

Upward Communication. Planning, policy-making, and future decisions are dependent, in part, on the feedback that managers receive from subordinates reacting to managerial decisions. Successful managers recognize the necessity and importance of motivating subordinates to initiate upward communication and insuring that there are channels and opportunities to do so. There are several important functions provided by upward communication. It helps employees relieve the pressures and frustrations of the work situation and enhances their sense of participation in the department. It serves as a measure of effectiveness of downward communication and suggests more rewarding uses of downward communication for the future. Perhaps most

significantly, upward communication provides management with needed information for decision-making.⁸

The extent of upward communication is determined by how rigidly organized the hierarchy is and the style of leadership that predominates. Upward communication is suppressed in departments that are very rigidly organized, and conversely, upward communication flows more freely in departments that are less rigidly organized. The tone of downward communication affects the extent of upward communication in that it must breed a tolerant environment to encourage upward communication. The degree to which this is done depends on the style of leadership that prevails. Obviously, a democratic leadership style will encourage upward communication more so than will an authoritarian style of leadership. The creation of an environment conducive to upward communication means more than a written order to that effect or the posting of a suggestion box. Managers must demonstrate positively that they take into serious consideration the needs of subordinates and their points of view. In addition to utilizing employee counselors, grievance systems, and committees, managers can best demonstrate their concern for upward communication by responding to it honestly, promptly, and in such a manner so as not to discourage subordinates from initiating upward communication in the future.

Managerial practices that inhibit upward communication force subordinates to seek other ways to get the attention of management and to get management to respond to subordinate needs. The increase in the numbers of police associations and unions in the past decade can be partially attributed to the conscious or unconscious thwarting of upward communication by managers. Subordinates are increasingly directing much of their upward communication to their association or union representative who deals directly with the chief, rather than inserting their communication in the formal communication system where it should more properly be. This situation can only be corrected by managers and administrators who create an environment that fosters and encourages upward communication and who respond positively to upward communication initiated by subordinates.

As with downward communication, managers also apply filters to upward communication. Upward communication does not have the advantage of carrying the "boss's weight," consequently, more filters are applied to it than to its counterpart.

A possible barrier to effective communications is the current shift scheduling procedure. Several overlapping shifts are constantly reporting on and off duty, virtually eliminating the opportunity for roll-call training. This, in turn, severely hampers efforts to inform troops by word of mouth of new policies and procedures and to obtain feedback from them.

As in any organization, the Montana Highway Patrol has some areas that, if adjusted, may serve to strengthen internal communications. The following five components,

⁸William Scholz, Communicating in the Business Organization (Englewood Cliffs, N. J.: Prentice-Hall, Inc., 1962), p. 61.

while none can stand alone as an absolute communications panacea, may have a positive effect within the department. While most of the components are suggested elsewhere in this report for slightly different reasons, the intent here is to demonstrate their usefulness as a "communications package."

Shift Stabilization. At the present time, each patrol officer is rotated to a different shift every two days. The usual rotation is two days, two evenings, two nights, and two days off. During the course of the day, there are usually several overlapping "shifts" of one or two men coming on or going off duty. There is no great justification for this type of assignment and it has developed through custom. A substantial reduction in the number of "overlapping" shifts will provide the supervisor and patrolman vastly increased opportunities for face-to-face interactions which should, in turn, reap positive rewards from a communicative standpoint.

While permanent shifts are most desirable, officers should be assigned to shifts of not less than 30 days. Shifts of shorter duration will encumber scheduling problems and may defeat the concept of time and need deployment of personnel.

Roll-Call Training. Once shifts are stabilized and all personnel on a given shift are reporting for duty at the same time, the opportunity for roll-call training becomes apparent. The sergeant, with the district or post commander's guidance, will have opportunities for presenting new and revised departmental policies and procedures, in most cases before their effective date. This is extremely desirable in situations where new policies and procedures may be difficult to understand and/or may have a negative effect on departmental morale. Admittedly, it is desirable for officers to concur with new orders but it is far more desirable for them to understand the official thinking behind the orders. In any case, reactions should be solicited from the officers at these sessions, both formally and informally. Frequently, negative feedback on new policy is solely the result of a misunderstanding.

The opportunity of roll-call sessions will also be greatly enhanced if patrol beats can be designed to meet as close as possible to the district or post headquarters. It has been recommended elsewhere in the report that officers be assigned to an 8-hour shift in lieu of the current 9-hour tour of duty. However, if permanent beat configurations include beat boundaries which are in close proximity to the district or post facility, officers should report 30 minutes prior to the beginning of their shift for roll-call and roll-call training sessions. There may be cases where an officer in a remote post is unable because of distance to report for roll-call. These officers should be kept informed by telephone of activities and other departmental matters. Special emphasis must be made by the supervisors to contact these persons on a regular basis.

Feedback Vehicle. It has been noted that reactions to new orders should be solicited from officers at roll-call training. If a given situation were not overly complicated and reactions were minimal, then informal word-of-mouth feedback through the sergeant, post commander, and district commander would suffice. At no time, however, should formal feedback be discouraged, and a formal vehicle for concerned reactions should be designed, at the direction from the highest level, for this purpose.

Most importantly, the highest levels must insist that (1) the upward channels of communication remain open at all times to prevent the intentional or unintentional "blockage" or "filtering" of information; and (2) the formal vehicle and procedure be structured so that the lower levels are aware that their comments have reached their intended destination and are being considered.

Again, other opportunities available for roll-call training sessions are limited only by the imaginations of the shift supervisor and the district commander. This component of the training, however, almost certainly will have a positive effect on both downward and upward communication.

Official Orders. It has been recommended elsewhere in this report that the official orders of the department be revised and categorized and that individual copies be distributed to all members of the department. Official orders are exactly what the name implies—the official voice of the agency. Once they are finalized they become "law."

A basic and well-accepted tenet of management principles dictates that every employee of an organization has the undeniable right to know exactly what is expected of him. Although the initial cost of this component may be high, subsequent issues of policy to individuals would be reduced by quantity production. All sworn personnel should then have a clear picture of official policy, and thus have a better understanding of their relationship to department goals—a definite plus for organizational communications.

Supervision of Field Personnel. Supervision might be simply defined as the act of overseeing. More comprehensively, supervision not only detects and corrects deficiencies in performance, but also encourages officers, through motivation and training, to render their best efforts. In application, this involves an analysis by field observation and an examination of record data to appraise each officer's performance fairly. Once the appraisal is made, appropriate incentives can be adopted to induce maximum effort.

The crux of a supervisor's job is to

1. Motivate
2. Advise
3. Train
4. Evaluate

All of these require Face-to-Face contacts. The supervisor must speak objectively and positively. Frequently, a supervisor fails in this because he is afraid to incur resentment from an individual or from his fellow officers; however, a supervisor can through adequate instructional programs, be trained to handle personnel.

Within the existing Uniform Division of the Highway Patrol, formal face-to-face interaction with subordinates in the field is not a routine practice. Supervisors are burdened with a great deal of administrative detail which requires a considerable portion of their time at district headquarters (i. e., the transfer of daily activity information to the Daily Report Extract (DR-IX), review of traffic citations, and vehicular accident reports).

Although by departmental policy supervisors are required to ride and observe officers two times monthly, it is rare when this observation occurs. During the site visits, officers from only one district reported this required observation and review on a regular basis. Officers from other districts indicated that sergeants observed their activities very infrequently. In one case, an officer stated that no supervisor had ridden in his vehicle for over 9 months. Supervisors themselves indicated that assignments to training, the Special Enforcement Unit, and vacation and days-off schedules greatly hampered their contacts with patrol officers. This lack of contact greatly affects internal communications within the organization.

The highway patrolman is seldom involved in district staff meetings. Following district commanders' meetings, the captain usually briefs his sergeants on the agenda items covered. The sergeants are then directed to brief the patrolmen. The process is very informal, however, and it is usually left to the discretion of the sergeants as to which areas will be covered.

Any effective field operation assumes that effective communication is present, not only from top to bottom, but also in an upward direction. It is, therefore, essential for a variety of reasons that communications flow smoothly in both directions.

Sergeants should, on a regular basis, meet with each officer while on patrol, discuss problems, and relay communications upward as needed.

Recommendations

1. Develop a shift stabilization program as proposed in the text.
2. Establish a policy of conducting roll-call and roll-call training.
3. Initiate an internal communications network designed to facilitate both upward and downward communication.

4. Relieve sergeants of excessive administrative responsibilities in the office and require frequent field contact and interaction with officers.

Section 4 - Patrol Operations

Patrol operations in the state of Montana have evolved in a rather traditional manner within the motor vehicle transportation system. The major activities are centered around accident investigation, traffic law enforcement, and traffic direction and control. The increase in level of enforcement, scope and quality of other traffic services, is closely tied in with a rather general and pervasive demand by the public for increased services by all agencies and at every level of government.

Patrol operations are currently conducted 18 to 21 hours per day throughout the calendar year, depending upon the district or day of the week. Officers assigned to various divisions and districts throughout the state are charged with the prevention of accidents and the enforcement of all motor vehicle laws. In addition, they respond to calls for assistance from local police departments, and have police powers to enforce felony laws in the state of Montana when they come into contact with such violations of the criminal code.

Current Assignment and Scheduling

The present system of assignment and scheduling in the various districts of the Montana Highway Patrol is in need of improvement. Patrolmen are assigned to a particular squad or section within a district and to a specified area within the squad's particular portion of the district's area. Since there are no specified beat or patrol areas designated by numbers or any other identifiable characteristic, it is impossible to determine what areas of the district or the state are being covered on a particular day.

Officers use badge number designations for radio numbers, as do supervisors. Therefore, it is incumbent upon the radio dispatcher which, for the majority of the time, is the county sheriff's office, to memorize what area a particular officer is covering and if he is on duty prior to dispatching a car on an assignment. There are no existing maps or charts which delineate the areas covered by each squad available for either radio dispatchers or administrative personnel.

After 3 a. m. each day, certain officers are scheduled to be "on call" for assignments pertaining to traffic accidents. These officers are notified at their homes and must proceed to the location of the incidents as soon as possible. The principles of providing police traffic services to the public, those of time, geographical location and need, are certainly being diluted by this practice.

In order to determine assignment, scheduling, manpower distribution and workload factors with any accuracy, it is necessary to establish identifiable geographical beat areas and geographical reporting areas.

In the Manpower Allocation and Distribution section of this report (Chapter III), the necessity to establish integrity in "calls for service" and "administrative time" was discussed. It is not expected that this phase of administration can be executed immediately or even within the next several months. However, in the interim period, until independent control of radio dispatching is implemented, there are several temporary intermediate steps which can be taken at the district level to begin proper assignment and scheduling of personnel.

24-Hour Coverage. The necessity to provide 24-hour coverage has been addressed elsewhere in this report. However, we should point out that at the present time there is no Highway Patrol vehicle on duty between 3 a.m. and 6 a.m. anywhere in the state. Statistics from calendar year 1977 report that

- (1) 20 percent of all accidents occur between midnight and 8:00 a.m.
- (2) More fatal accidents occur between 2 a.m. and 3 a.m. than any other hour of the day.
- (3) 7 percent of all fatal accidents occur between 3 a.m. and 6 a.m. — the period when there is no officer on patrol anywhere within the state.
- (4) Approximately 38 percent of all accidents occur between 8:00 a.m. and 4:00 p.m., and 42 percent of all accidents occur between 4:00 p.m. and midnight.

We realize that 20 percent of the patrol force cannot be deployed from midnight until 8:00 a.m.; however, two men in each district can be assigned to patrol in this time period. This would allow 10 men on duty 3 days per week, and 1 man 4 days per week throughout the state.

Establishment of Designated Beat Areas. It is recommended that district and post commanders, in cooperation with section sergeants, designate geographical beat assignments. Identified beat numbers should also be used as radio call numbers. The following pages exemplify the manner in which each patrol district can be divided. The examples divide each section into a day and evening shift with two persons assigned to the night shift in each district. Radio number designations end with the letter A, B, or C: A indicating day shift, 8:00 a.m. - 4:00 p.m.; B indicating evenings, 4:00 p.m. - 12 midnight; and C indicating nights, 12 midnight - 8:00 a.m.

The reader must keep in mind that these are examples. Certain principles have been considered in both options, i.e.:

- (a) 24-hour coverage
- (b) Percentage of accidents by time of day in Montana
- (c) Manpower availability and relief factor

The examples are based upon a relief factor of 1.6. This ratio is arbitrary and it is recommended that a relief factor analysis be completed for each separate district as soon as possible. The principles of manpower availability and relief factor are discussed in the section on Manpower Allocation and Distribution.

Squad sergeants will be required to rotate from shift to shift in order to perform supervisory tasks. In those districts where more than one squad is assigned to work from the same location, Billings, Great Falls, etc., sergeants should not work the same hours on a given day. One sergeant should work days, another evenings, etc. Sergeants should designate a senior or master patrolman to perform basic supervisory tasks in his absence. This assignment could be rotated in order to allow more personnel to learn the supervisors' function. In the future as manpower is increased, the number of supervisory personnel should also be increased with the ultimate goal being the assignment of a sergeant to each squad for every shift.

Car numbers are suggested radio numbers and beat assignments.

Patrol District I

Squad 11

Days	Evenings	Nights
Sgt. Car 110		
Car 111A	Car 111B	Car 111C
Car 112A	Car 112B	Relief
Relief	Car 113B	
	Relief	
	Relief	

Total Assigned
10 men, 1 Sgt.

Squad 12

Days	Evenings
Sgt. Car 120	
Car 121A	Car 121B
Car 122A	Car 122B
Relief	Car 123B
	Car 124B
	Relief
	Relief

Total Assigned
9 men, 1 Sgt.

Squad 13

Days	Evenings
Sgt. Car 130	
Car 131A	Car 131B
Car 132A	Car 132B
Relief	Relief

Total Assigned
6 men, 1 Sgt.

Squad 14

Days	Evenings
Sgt. Car 140	
Car 141A	Car 141B
Car 142A	Car 142B
Relief	Relief

Total Assigned
6 men, 1 Sgt.

Squad 15

Days	Evenings
Sgt. Car 150	
Car 151A	Car 151B
Car 152A	Car 152B
Car 153A	Car 153B
Relief	Relief
Relief	Relief

Total Assigned
11 men, 1 Sgt.

Patrol District II

Squad 21

Days	Evenings	
Sgt. Car 210		
Car 211A	Car 211B	
Car 212A	Car 212B	
Relief	Car 213B	
Relief	Relief	
	Relief	
		Total Assigned
		9 men, 1 Sgt.

Squad 22

Days	Evenings	
Sgt. Car 221		
Car 221A	Car 221B	
Car 222A	Car 222B	
Relief	Relief	
	Relief	
		Total Assigned
		7 men, 1 Sgt.

Squad 23

Days	Evenings	Nights
Sgt. Car 230		
Car 231A	Car 231B	Car 231C
Car 232A	Car 232B	Relief
Relief	Relief	
		Total Assigned
		8 men, 1 Sgt.

Squad 24

Days	Evenings	
Sgt. Car 240		
Car 241A	Car 241B	
Car 242A	Car 242B	
Relief	Relief	
	Relief	
		Total Assigned
		7 men, 1 Sgt.

Patrol District III

Squad 31

Days	Evenings	Nights
Sgt. Car 310		
Car 311A	Car 311B	Car 311C
Car 312A	Car 312B	Relief
Relief	Relief	
Total Assigned 8 men, 1 Sgt.		

Squad 32

Days	Evenings
Sgt. Car 320	
Car 321A	Car 321B
Car 322A	Car 322B
Relief	Car 323B
	Relief
	Relief
Total Assigned 8 men, 1 Sgt.	

Squad 33

Days	Evenings
Sgt. Car 330	
Car 331A	Car 331B
Car 332A	Car 332B
Relief	Relief
Relief	Relief
Total Assigned 8 men, 1 Sgt.	

Squad 34

Days	Evenings
Sgt. Car 340	
Car 341A	Car 341B
Car 342A	Car 342B
Relief	Car 343B
Relief	Relief
	Relief
	Relief
Total Assigned 10 men, 1 Sgt.	

Squad 35

Days		Evenings	
Sgt.	Car 350		
	Car 351A	Car 351B	
	Relief	Car 352B	
		Relief	
		Relief	
			Total Assigned
			6 men, 1 Sgt.

Patrol District IV

Squad 41

Days		Evenings	Nights
Sgt.	Car 410		
	Car 411A	Car 411B	Car 411C
	Car 412A	Car 412B	Relief
	Relief	Car 413B	
	Relief	Relief	
		Relief	
			Total Assigned
			11 men, 1 Sgt.

Squad 42

Days		Evenings	
Sgt.	Car 420		
	Car 421A	Car 421B	
	Car 422A	Car 422B	
	Car 423A	Car 423B	
	Relief	Car 424B	
	Relief	Relief	
		Relief	
			Total Assigned
			11 men, 1 Sgt.

Squad 43

Days		Evenings	
Sgt.	Car 430		
	Car 431A	Car 431B	
	Car 432A	Car 432B	
	Relief	Car 433B	
	Relief	Relief	
		Relief	
		Relief	
			Total Assigned
			11 men, 1 Sgt.

Squad 44

Days		Evenings	
Sgt.	Car 440		
	Car 441A	Car 441B	
	Car 442A	Car 442B	
	Relief	Car 443B	
	Relief	Relief	
		Relief	
		Relief	
			Total Assigned
			10 men, 1 Sgt.

Squad 45

Days		Evenings	
Sgt.	Car 450		
	Car 451A	Car 451B	
	Car 452A	Car 452B	
	Relief	Car 453B	
	Relief	Relief	
		Relief	
			Total Assigned
			9 men, 1 Sgt.

Patrol District V

Squad 51

Days		Evenings	Nights
Sgt.	Car 510		
	Car 511A	Car 511B	Car 511C
	Relief	Car 512B	Relief
		Relief	
			Total Assigned
			7 men, 1 Sgt.

Squad 52

Days		Evenings	
Sgt.	Car 520		
	Car 521A	Car 521B	
	Car 522A	Car 522B	
	Relief	Relief	
			Total Assigned
			6 men, 1 Sgt.

Squad 53

Days

Evenings

Sgt. Car 530
Car 531A
ReliefCar 531B
Car 532B
ReliefTotal Assigned
5 men, 1 Sgt.

Squad 54

Days

Evenings

Sgt. Car 540
Car 541A
ReliefCar 541B
Car 542B
ReliefTotal Assigned
5 men, 1 Sgt.

Squad 55

Days

Evenings

Sgt. Car 550
Car 551A
ReliefCar 551B
ReliefTotal Assigned
4 men, 1 Sgt.

Additional Considerations in Permanent Beat Assignments. There are several additional factors to be considered in establishing beat assignments. Once beats are established, they should be manned each day. On occasion, there will be more officers working than the number of designated beats. These personnel should be utilized for selective enforcement assignments, school bus inspections, etc., or they should be assigned to areas with special problems. When assigned to areas where a regular car is also on duty, they should assume the radio number of that area with letter designation of X.

Beat maps should be designed and large reproductions should be displayed at the radio dispatchers' location. In addition, smaller reproductions should be displayed at the radio dispatchers' location, and smaller reproductions should be provided to every patrol vehicle.

Shift Rotation

One problem inherent in implementing a work schedule designed for maximum coverage at the time and location of greatest need is scheduling days of work and days of rest. When designing such a schedule, the assignment of permanent shifts should be taken into consideration. As previously stated, the concept of shift stabilization has a great many advantages in assisting inter-departmental and inter-personnel communications, and is, therefore, beneficial to the functioning of the agency.

There are many reasons that can be argued for permanent shift assignments. O.W. Wilson and Roy C. McLaren, in the 4th Edition of Police Administration, outline several reasons for the deployment of permanent shifts:

"The most efficient patrol service is attained by the permanent assignment of a patrol officer until such time as the quality of his or her services and the need for them justify a transfer to another platoon... Permanent shifts greatly facilitate having different numbers of officers on each shift, in proportion to the workload... Finally, the physical and domestic welfare of officers requires that they work regular hours. For top physical and mental efficiency, eating and sleeping habits should follow a set pattern. Regularity of hours also contributes to good family relationships.⁹

As permanent shifts provide the least amount of administrative problems, so, too, does the deployment of a fixed bracket duty schedule.

Fixed Bracket Schedule. A fixed bracket schedule is one in which each employee receives the same days off each week. The name is derived from the fact that each employee works the same seven-day schedule "bracket" each week (i. e., upon completion of the seven-day sequence of work and off-duty assignments, the employee starts again with the first day of the same sequence). A different seven-day schedule bracket is assigned to each employee or group of employees. Fixed bracket schedules are used when coverage must be provided more than five days a week. These schedules can be used when daily staffing is uniform (i. e., when the same number of employees are on duty each day of the week) or when on-duty staffing varies by day of the week (e. g., to provide a "high" level of coverage on certain days, and a "low" level of coverage on others.

The schedule shown below consists of seven brackets each containing exactly seven days. One employee is assigned to each bracket. Off-duty days in each bracket are identified with the letter R; on-duty days are left blank. The pattern of on- and off-duty days in each bracket describes the weekly work pattern for the employee assigned to that bracket. For example, the employee assigned to bracket 1 works Wednesday through Sunday, and has Monday and Tuesday off each week. The employee assigned

⁹O.W. Wilson, R. C. McLaren, Police Administration, 4th Edition, McGraw Hill, New York, 1977.

to bracket 5 works Sunday through Thursday, and has Friday and Saturday off each week.

SEVEN BRACKET SCHEDULE WITH UNIFORM DAILY COVERAGE

	M	T	W	T	F	S	S
1	R	R					
2		R	R				
3			R	R			
Bracket	4			R	R		
	5				R	R	
	6					R	R
	7						R
No. of On-Duty Employees	5	5	5	5	5	5	5

The six-bracket schedule shown below provides uniform staffing on Wednesday through Sunday and a reduced staffing level on Monday and Tuesday.

SIX BRACKET SCHEDULE WITH NON-UNIFORM DAILY COVERAGE

	M	T	W	T	F	S	S
1			R	R			
2					R	R	
3	R						R
Bracket	4	R	R				
	5	R	R				
	6	R	R				
No. of On-Duty Employees	2	3	5	5	5	5	5

While the use of a fixed bracket schedule is most desirable from an administrative point of view, it may cause some personnel or morale problems. Therefore, the

Montana Highway Patrol may find that a proportional rotating schedule would be more appropriate.

Proportional Rotating Schedule

The primary feature of proportional rotating (PR) schedules is their ability to provide variable (or proportional) staffing by day of week without the use of permanently assigned days off. Each employee works a series of one-week schedule brackets in sequence and begins the sequence again after completing the final bracket. All employees follow the same sequence of brackets. When shift schedules are designed to include relief personnel, variable staffing levels by shift and day of the week can be achieved.

An example of a one-shift PR schedule is shown below. This schedule consists of six brackets and is used in the following manner. One employee or group of employees is assigned to each bracket. After working the pattern of on- and off-duty days in that bracket (i. e., after one week), each employee or group rotates down to the next bracket in the schedule. (The employee completing bracket 6 rotates back to bracket 1.) After six weeks, every employee will have spent exactly one week on each bracket in the schedule. Although the employees change brackets every week, the number of employees scheduled to be on duty on each day of the week does not change. For example, in the PR schedule shown, five employees are scheduled to be on duty on Friday and Saturday and four employees are scheduled to be on duty on each of the other days of the week.

ONE-SHIFT PR SCHEDULE

	M	T	W	T	F	S	S
1	R						R
2	R	R					
3		R	R	R			
Bracket	4		R	R			
5					R		
6						R	R
No. of On-Duty Employees	4	4	4	4	5	5	4

In the Montana Highway Patrol it is incumbent upon the supervisor to design the duty schedule. This is a responsibility which should be transferred to the district or post

commander. Once tentative beats are designed, the officer in charge must undertake the responsibility to assure that the permanent beats are manned each day. There may be times when special assignments, vacations, sickness, etc., require that a designated beat not be manned. However, a written report should be filled with the area commander indicating the circumstances and the anticipated time the beat will be vacated. In these circumstances, overlapping coverage by neighboring beats should be implemented.

One-Man Car System

A true one-man car system, many experts agree, provides officers with more safety and increases patrol production. Because of the immense geographical area which must be patrolled and the limited manpower available, the Montana Highway Patrol utilizes one-man patrol cars. However, the effectiveness and safety of one-man cars is incumbent upon frequent communication between the officer and the radio dispatcher. This vital rule of safety is being constantly violated by Montana Highway Patrol officers. Officers do not, in general practice, notify the dispatcher when they make routine patrol stops. This is not only a violation of one-man patrol methods, it is an unsafe practice.

The difficulties with radio communication have been discussed elsewhere within this report; however, because of the important factors of radio communications to the one-man car system, it is worth repeating here.

One-Man Car Radio Procedure. Officers should always notify the dispatcher of their location when stopping a vehicle, and should be required to provide a license number, description of the vehicle including make, model and color, and the number of occupants. The Highway Patrol should establish a system of radio communications and institute "vehicle stop" radio and pre-approach procedures.

Prisoner Transportation. Prisoner transportation procedures at the present time also violate the principles of one-man car operations. In those cases where transportation is necessary, officers generally do not have available back-up assistance. Prisoners are transported in the vehicle with the officer who must concentrate on driving his vehicle. While cases of difficulties in transportation of prisoners are rare, the potential for trouble and officer injury is constantly present. Therefore, all patrol vehicles should be equipped with protective screens between the front and rear seats.

Emergency Calls. Wide discretion is given to the officers in determining which calls should be considered "emergencies" requiring the use of the siren and warning lights. Indiscriminate response techniques endanger the safety of citizens and officer alike. Sound dispatching procedures should be developed based upon administrative orders. Dispatchers should screen the incoming calls to the best of their ability and advise officers as to whether or not the call demands an emergency response.

All emergency equipment should be activated when responding to true emergencies. It is recognized that in most cases only one unit can respond to a call, often arriving after the ambulance has removed injured parties. In such instances, the full emergency response is not necessary. Officers should continue to the scene as quickly and safely as possible to conduct preliminary and follow-up investigation.

Impound Procedures

The procedure for towing and impounding vehicles currently utilized by the field operation division of the Montana Highway Patrol can lead to difficulties if procedures are not altered. The current reporting form does not provide space to list the contents of the towed vehicle, i.e., radio, C.B. radio, other items not taken into custody for safekeeping. There is no signature line for the tow truck driver indicating he acknowledges the receipt of the vehicle and its contents as listed by the officer. It is recommended that the Montana Highway Patrol adopt the use of the Vehicle Report which is contained in the Reporting Guide located in the appendix.

Rotating Towing Firms

In approving firms which request to be placed on the rotating schedule for tow trucks, the Highway Patrol should consider the establishment of regulations for such firms, such as

- a) The type of truck and equipment required
- b) Insurance to cover damages to private vehicles or loss from towed vehicles
- c) A reasonable rate charge per mile which would be uniform for all firms within a given division
- d) Suspension from the rotating list if a certain number of requests for service were declined by the operator

The establishment of tow rates will eliminate the opportunity for unscrupulous operators to overcharge the vehicle owner. It would also eliminate any allegations that officers or the Highway Patrol were receiving "kick backs" or gratuities from individual tow truck operators.

Property and Evidence

There are a great many difficulties with the Highway Patrol's current property and evidence procedures. Officers are placing property in division station lockers or storerooms, in local police or sheriff's offices, and in some cases, retaining the evidence or property themselves. There is no property control log kept in the division headquarters, and the integrity of recovered property and evidence is questionable.

It is recommended that officers who recover property and evidence complete a Property Record Report as illustrated in the appendix. It is also recommended that each district and post headquarters maintain a property log and a property and evidence custody room. In those cases where it is absolutely necessary to place property or evidence in local law enforcement facilities, it should be noted on the property record report and the local officer receiving custody should sign the report as designated. The Highway Patrol office property room should be utilized except in extreme circumstances. Officers should provide written justification when property or evidence is placed with other law enforcement agencies.

Collecting Bail or Bond Monies

The present state statutes which allow an officer to accept cash bail monies are questionable. The separation of police and courts is a widely accepted principle and this current practice should be closely examined. Several problems with the current system are immediately obvious. For example:

- (1) This policy places officers in a position of temptation.
- (2) There is no supervisory or command control over these funds. Officers are required on their own to report to the magistrate and turn over the bond and fine money.
- (3) Many officers place bond money in their brief case in their vehicles. The opportunity for theft or loss is quite evident.
- (4) While this practice is apparently condoned by Montana citizens, it gives the appearance of "Roadside Justice" or "Kangaroo Courts" to the outsider.

The Highway Patrol should study alternatives to eliminate this questionable practice. Fines should be paid directly to the courts. Bonds to assure appearance in court should be collected by a representative of the courts and not by the patrol officer.

Recommendations

1. Provide the citizens of Montana with Highway Patrol availability and service 24 hours each day.
2. Establish permanent beat areas and assignments.
3. Develop a shift rotation schedule. Consideration should be given to the establishment of permanent shifts.
4. Design one-man car radio procedures and require officers to conform to these regulations.
5. Provide protective screens between the front and rear seats of field patrol vehicles.
6. Require officers to conform to established procedures when responding to emergency calls.
7. Improve impound procedures as indicated in the text.
8. Consider the procedures discussed in the text as they relate to the rotation of towing firms.
9. Develop and maintain a secure property and evidence room in each district and post facility.
10. Maintain property and evidence logs in each facility as discussed.
11. Eliminate the practice of accepting bail money by highway patrol officers issuing traffic citations.

Section 5 - Management Information

Montana Highway Patrol officers utilize a variety of field reporting forms. In almost all cases the reports are completed by the officer in the field and then delivered by mail or relayed to the division headquarters. In some cases, the field reports do not reach division headquarters for two to three days. Reports are accompanied by the officer's daily activity report, and at the time the sergeant approves the daily report, he is tacitly approving all reports and activities of the officer for the day in question.

The current daily and field reporting system has become cumbersome. While tasks are performed and certain information is gathered, an examination of current practices indicates that advantages can be gained by revising some of the current practices.

Daily Report Forms. Daily Report Forms are by far the most critical activity reports. Lacking the proper documentation of officer activity, further compilation of essential management information is almost impossible.

The present activity form utilized by field personnel does not require officers to record a narrative of their patrol day, and the information gleaned from the activity report and utilized by administrative personnel is missing some vital information which could be used in personnel evaluation, unit effectiveness and future planning for enforcement and safety programs.

The officer's daily activity report, if properly conceived, has many invaluable uses for police administrators, budget officers, planners, training officers, personnel officers, and other staff and operational personnel. Among the values are its abilities to (a) more accurately account for the expenditure of an officer's time; (b) act as an instrument of supervision for first-line supervisors; (c) relate time expenditure to activity and to cost effectiveness procedures; and (d) serve as a control document over reports submitted. The activity report provides information to citizens and legislators concerning the total activity of the Highway Patrol. Therefore, it is absolutely necessary for officers to report all activities during their tour of duty.

Performance Evaluation and Productivity

Personnel evaluation is an essential process in the management of any organization, and it assumes truly major proportions in those organizations that rely heavily on the action, attitude, and appearance of the personnel involved. Police agencies are outstanding examples of organizations that are dependent on the quality and productivity of their personnel. Police work is not automated and very few important functions are routinized. The quality and the success of a police department are dependent on the effectiveness of its personnel in both mental and physical activities. The human element is critical in the regular day-to-day operations, as well as in the unexpected, emergency situations that arise in traffic and all other aspects of the police officer's job. Therefore, police commanders and supervisors must regularly attempt to assess how well their officers are performing. Whether this assessment is made intuitively, based on "feelings" about an officer, or it is made in a more systematic, sophisticated manner, the objective is the same: to determine how well each officer is doing and, taken together, how well the squad, platoon or department is doing.

In making an assessment of how well an individual officer or a group of officers is doing, the manager is concerned with the "productivity of the officer or the group. This is not to imply that the evaluation process equates arrests or citations or any kind of quota. Productivity simply means that in a given police agency under a specified assignment in a particular patrol area, an officer can be expected to encounter a somewhat

predictable number of opportunities and will perform. The non-productive officer will not.

Police Traffic Services Personnel Performance Evaluation System. This system was designed by the National Highway Traffic Safety Administration to provide a reasonably precise measure of an officer's actual performance of Police Traffic Services (PTS). The measures are of specific, defined parts of the officer's job, and they are quantitative. The measures are not subjective. In addition, the system provides for the evaluation of the quality of performance by means of a systematic assessment of all of the tasks the officer must perform in carrying out each major part of traffic services. Basically, this system produces information about the performance of an individual officer. However, by aggregating such individual data, it is possible to measure and evaluate the performance of a group, such as a platoon or shift or even the entire Field Operations Division. Similarly, the effectiveness of a particular safety or enforcement program can be assessed. In terms of the police management function, this system is a means by which the quality and productivity of traffic operations can be determined.

PTS Evaluative Factors. This evaluation system is based on a specific set of factors. Each factor represents a particular segment of police traffic services which, when taken as a whole, represents the total set of tasks that make up the police traffic services performed by officers. The system requires the supervisor to make a separate judgment of an officer's work relative to each factor. In this way, the supervisor can identify specific strengths and weaknesses in an officer's work; that is, the supervisor can use the system to find out which tasks an officer performs exceptionally well, which ones he does adequately, and which ones require improvement.

There are eight such factors which encompass all activities that can be classified as PTS. These factors are:

1. Performs patrol
2. Makes traffic violation stop
3. Evaluates violation and selects enforcement
4. Issues enforcement action
5. Manages and investigates traffic accidents
6. Prepares and presents traffic-related evidence and testimony

7. Provides highway service and assistance
8. Directs and controls traffic

The background and concept of the PTS evaluation system is contained in Volume I, Manual for Police Traffic Services Personnel Performance. Volume II, Supervisor's Guide, is designed for instruction and use by the personnel rater. Both of these volumes have been provided to the Montana Highway Patrol as separate items with this report.

The utilization of the PTS evaluation system requires the use of a different daily activity log than the one currently utilized by the Montana Highway Patrol. Samples are contained in the PTS Evaluation Manuals which have been provided.

Other Written Reports

A written report should be prepared in connection with each incident requiring police attention and following each request for police service received. Admittedly, this means that some reports will be prepared on relatively minor matters. However, these reports can be quickly prepared through the proper development and use of preprinted forms.

Currently, these procedures are generally being following by the Highway Patrol. However, several of the forms do not require certain necessary information and the reports are not filed in the manner which allows collection of and analysis of officer activity. Presently, many miscellaneous reports are filed away in the individual officer's Personnel File. They include radar reports, gross weight vehicle receipts, special fuel users temporary trip permits, tire records, wrecker inspection forms, long distance call records, monthly activity reports, miscellaneous memorandums, receipts for gasoline, oil, etc., supervision reports, and miscellaneous criminal reports.

Minor incidents consume a considerable portion of the available time of officers, and an accurate measure of these incidents and the time involved in handling them is essential in determining manpower requirements accurately. The chief of the Highway Patrol and his command staff cannot possibly respond to the problems that confront them unless they have accurate data.

Elsewhere in this report a discussion of recordkeeping and reports is presented. A recommended reporting guide, including a sample of various forms for reporting all types of incidents, is provided in the appendix.

Quality of Reports

The quality of report writing in the Montana Highway Patrol is in need of improvement. This is particularly the case in accident reporting. Officers are not properly conducting accident investigations, and the present procedures reflect upon the efficiency of the Montana Highway Patrol. Officers responding to accidents are recording basic information but are neglecting measurements, photographs and diagramming. This is particularly true in regard to fatal and serious injury accidents.

Officers are not routinely required to submit scale diagrams of any accident. Supervisors are aware that scale diagrams are not being constructed and that free hand drawings of the accident are all that is currently being submitted for even the most serious or fatal accidents. Officers report that in many cases they do not take measurements and often when asked to construct a diagram, do it by memory or from a few notes jotted on their copy of the accident report. In theory, police personnel investigate every motor vehicle accident known to them in their jurisdictions. In reality, however, the presence of police personnel at a collision scene, the extent of emergency and investigative services provided, the time spent, and the information recorded greatly varies.

In practice, the extent of police information gathering (investigative reporting) primarily depends on the seriousness of personal injuries or the extensiveness of vehicle damage resulting from the accident. Judgments are made by individual officers directed to the scene as to how much and what kind of information is wanted or may be useful. Attitudes and practices existing within the department about motor vehicle accidents influence these judgments. Individual investigators further modify such practices. This makes it difficult to define exactly what is meant by "investigate" and to determine when an "investigation" is complete.

Vehicle accident investigation has not been adequately defined by law, by operational standards, or by professional associations to serve as a universally accepted performance guide. For each accident, investigation begins with basic reporting and is carried as far as dictated by the individual investigator. In so doing, information vital to meeting the objectives of the department is often lost. This situation demands policy decisions and plans to provide uniform and appropriate emphasis on each aspect of accident investigation.

As a separate addendum to this report, the IACP has provided the Montana Highway Patrol with copies of A Manual of Model Police Traffic Services Procedures. This manual provides guidelines for officers in performing duties relative to accident investigation which, if implemented, will provide officers with a comprehensive checklist of items that will give direction and insight into the mechanics of accident investigation and reporting.

Traffic Accident Scene Reconstruction (Diagrams)

Sketches are useful in assisting the investigator and explaining the accident, enabling the investigator to reveal facts, to locate again any given point at the scene, and to serve as a basis for an accurate scale drawing. The following procedures should be used in preparing field sketches and scale diagrams:

- The sketch shall contain a legend including the case number, location, date and time of the accident, officers preparing the sketch, and compass points.
- Officers shall begin the sketch by preparing a map containing the physical characteristics of the scene, pertinent contributing factors (view obstructions, control devices) and fixed points to be used as a base from which measurements will be taken.
- The sketch shall contain the final position of the vehicles, position of persons not in the vehicle, damage to property other than the vehicle's, debris and vehicle marks, and skid and scuff marks.
- Measurements shall be taken by the triangular and/or coordinate system for locating each item in the sketch.
- Utilizing the information on the sketch, a diagram to approximate scale shall be prepared utilizing standardized symbols. Those recommended by the Northwestern University Traffic Institute are endorsed by the IACP.
- The completed diagram shall include a legend stating the case number, location, date and time of the accident, name of the officer preparing the diagram, scale of the diagram, and compass points.
- All field notes and sketches shall be maintained by the investigating officer for compliance with the best evidence rule.

Photography at Traffic Accidents

Photographs are extremely important in effective traffic accident investigation. Photographs serve to assist the investigator in formulating well founded opinions and in establishing the sequence of events occurring in the accident. The following procedures should be followed when photographing traffic accident scenes:

- The photographer will be thoroughly familiar with the rules of evidence as they apply to photographic evidence, and insure that the photographs taken meet approved standards.
- The photographer will maintain a "shot chart" identifying the type of camera, "F" stop and shutter speed, film ASA rating, and the position from which the photograph was taken.
- The location from which photographs are taken will be marked for later inclusion in the traffic accident scene sketch.
- Photographs will be taken of an overview of the accident scene with permanent fixed objects included to establish location.
- The photographer will take photographs from all angles establishing a 360° photographic coverage of the accident scene.
- Photographs will be taken of short-lived and temporary evidence (tire marks, skid mark shadow, spillage from the vehicle, etc.).
- Photographs will include close-up shots of physical evidence including marks on the roadway, impact damage to vehicles, view obstructions, traffic control signs and signals (from the viewpoint of the driver), and skid marks.
- A strict chain of custody must be maintained over photographs, negatives and polaroid prints.

Division Recordkeeping

Vehicular accident reports are filed in division headquarters by county and month. The current complaint control system, utilizing the officer's badge number, the date, and the chronological number of the accident handled by that officer that month, does not lend itself to a more logical filing system. Reports and administrative correspondence are filed as follows:

Traffic Summons:	Active, by officer's name and number
	Inactive, by officer's name and number

Fatality Accidents:	Separate file
Wrecker Calls:	Chronologically
Daily Reports:	Alphabetically, by officer's name and by month
Montana Highway Patrol Maintenance Report:	By month

While the great majority of the division office files should be categorized, it should be noted that division secretaries have performed very well and most of the files observed were neat and the locations of particular reports were known by these personnel.

Recommendations

1. Expedite the receipt of field reports at district headquarters.
2. Adopt the Police Traffic Services (PTS) Personnel Performance Evaluation System.
3. Adopt the Reporting Guide presented in the appendix of this report.
4. Improve the quality of all written reports submitted by Highway Patrol personnel.
5. Implement the guidelines recommended in the Manual of Police Traffic Service Procedures.
6. Require officers to submit accident scene diagrams as outlined in the text.
7. Train officers in the proper use of photographic equipment and its usefulness in accident investigation.
8. Redesign records management and storage as prescribed elsewhere in the text.

Section 6 - Supervision of Field Forces

The supervisor's job is particularly complex because it requires both technical competence and leadership ability. Perhaps nothing is more difficult for the effective supervisor than to allow others to perform a task that he knows he can do better and faster himself.

The work output remains the primary responsibility of every supervisor. Whether the job is in the office or on the street, the supervisor is paid to see that the work is finished properly and on time. The real estimate of a supervisor's worth is primarily based on his ability to get the work done. However, striving for high standards must not overshadow consideration for the human element. People are not machines, and a supervisor who treats them as such will find that no amount of pressure can permanently increase their rate of work.

First-line supervisors have numerous responsibilities. Many administrators believe the role of the sergeant to be the most critical within the agency. His responsibilities are of two types: technical, having to do with the techniques and proper methods of performing the basic police functions; and personnel, having to do with the human relation aspects of directing the work of others.

Most uniform sergeants in the current traffic division do not have the time to accomplish the above tasks. Over the years, sergeants have been assigned administrative responsibilities in ever-increasing volume until at present, virtually no time remains for anything else. Many sergeants are making the attempt to supervise, but are overwhelmed with duties that should be performed by others.

Although some of the tasks sergeants do relate to supervision, many of their current office duties could easily be assigned to civilian personnel at the district station. In addition, if the recommendation to assign one sergeant to station duty (made elsewhere in this report) is implemented, the field supervisor will be relieved to spend more time in the field performing supervisory responsibilities.

Recommendation

Sergeants should be relieved of the duties that require them to be in the station for extended periods of time. They should be assigned to spend the majority of their time in the field providing instruction and supervision to officers assigned to their squads.

Section 7 - Buildings and Equipment

The quality of police buildings and equipment has a direct bearing on employee morale and the initial reaction of the public to the police. Modern, attractive buildings, properly

equipped and maintained, will enhance a department's image. Most citizens, since they have little direct contact with the police, form opinions based upon superficial impressions of police facilities and equipment, uniformed officers' appearance, or an initial verbal contact with an employee. The importance of physical appearance should not be underestimated as a factor in the attainment of the department's overall goals and objectives.

The police facility houses the functions, and supports the overall direction, control and coordination of field services. The police facility, in a sense, is the "brain" of a police agency, in that it provides the police officer in the field with the means to seek assistance and gain access to vital information.

Present Facilities

The Montana Highway Patrol maintains district facilities located throughout the state. With the exception of the present division headquarters in Butte, the facilities are leased from private parties or are located within the Highway Administration's district complex. How functional a facility is depends upon the commander's ability to justify material requisitions and arrange lease negotiations: much depends upon the captain's personal ingenuity.

For economic reasons, the Montana Highway Patrol has chosen to obtain its facilities from what is available within each division. This has created a diversified type of building which is not readily identifiable with the Montana Highway Patrol. However, all of the facilities are adequate and meet the needs of the area served.

There is no question that the present system serves its purpose. The lease of property from private sources or other governmental agencies has several advantages.

1. Private lease arrangements do not remove property from tax rolls.
2. Initial cost outlay is minimized.
3. Facility costs may be lower, depending upon lease arrangements.
4. Operational costs may be lower, depending upon lease arrangements.
5. Flexibility in selecting facilities is possible based on changing needs.

However, there are some definite advantages to the department's building and operating its own facilities:

1. Facilities can be located strategically, rather than where a location is available.
2. Permanent locations can be obtained and become readily known to the residents in the area.
3. Facilities can be built to meet Highway Patrol operational needs.
4. Standardized facilities can be used which are identifiable with the Montana Highway Patrol.
5. Multi-purpose usage of the facilities by other state agencies, such as the Department of Motor Vehicles, can be made.
6. Over long periods of time, operating costs may be lower.

All of the disadvantages and advantages must be weighed, but it is felt that a program of locating and constructing Highway Patrol facilities should be considered.

Although we recognize the benefits of the present program of using facilities which are available at the local level, consideration should be given to preparing a long-range program of planned, strategically located, readily identifiable, and functional Highway Patrol facilities. This should include the adoption of a standard facility design which can be readily identifiable to the public, as well as a master plan of where these facilities should be located. If funds become available in the future, a standardized, easily identifiable, properly located, and functional facility can be constructed. The basic design should consider the following areas:

- Functional relationships
- Economy of space
- Public convenience
- Security
- General design considerations
- Communications, records, and evidence space

- Detention and related facilities
- Provisions for multiple use

It is important to the progressive police administrator that future plans be made to consider future needs.

Uniform and Equipment

General observations made during the site visits in Montana indicate that it has been a considerable time since such items as uniforms and equipment have been reviewed. At the present time, officers wear green or tan shirts with long or short sleeves, depending upon their color preference. They may wear boots or shoes which are department issue. While this may not be an overriding problem compared to others discussed in this report, it is an issue that should be addressed.

This problem could be effectively handled by a steering committee comprised of officers who are assigned to patrol duties. Each district could appoint one officer to serve on the committee. Chairmanship may be rotated, perhaps every year, beginning with District One and rotating either clockwise or counterclockwise through the other districts. While it may be impractical to meet the entire committee on a regular basis, committee members could be polled by telephone or by mail on the issues. All committee members would be expected to solicit input from all officers. (See Personnel Administration and Training chapter for more detail on uniforms and equipment steering committee.)

Areas of concern for the committee should include, but not be limited to:

- Uniforms
- Vehicles
- Vehicle equipment
- Communications equipment
- Policy concerning wearing of uniforms and use of equipment

At the first committee meeting, the issue of a standard uniform for all members of the Highway Patrol should be a high priority item on the agenda.

Reports with recommendations from this committee should be submitted to the chief for his review. Although the chief may respond on his own, it would be appropriate if the reports were submitted to a staff unit for review of financial or other considerations. It would then be necessary that the committee receive both positive and negative feedback on its input.

Vehicle Equipment

At the present time, officers are provided with all the equipment necessary to perform their jobs, considering the type of assignments covered. However, the practice of carrying their entire foul weather issue uniform in the vehicles is questionable. Officers carry rain coats, heavy winter coats, jackets, riot helmets, etc., in their cars on every tour of duty. This eliminates the use of one-half or more of the rear seat. Items such as raincoats and winter reefers should be carried in the trunk of the vehicle unless their use is imminent.

Camera. The Kodak Instamatic camera which is issued to officers is not satisfactory for the type of photography necessary in accident investigation. Many officers indicated they would not use them, and in two instances cameras were found to be inoperable. There are many cameras which are more reliable for accident photography work, and the proposed steering committee should investigate the feasibility of replacing the Kodak Instamatic.

Rifles. The issue of a 30.30 rifle to each officer is questionable. No officer or commander could relate an instance when the use of this firearm was necessary. It may be feasible to investigate the possibility of selling the rifles to interested officers and reinvesting the funds acquired into the purchase of more efficient and reliable photographic equipment.

Radio Equipment. Communications has been presented in another chapter of this report. However, because of the significant importance of this equipment to the safety and efficiency of the patrol officer, it is necessary to address the issue in this section of the report as well. The current communications set up of the Highway Patrol is unsatisfactory. Officers are often in areas where contact with their own district office is impossible. The current use of the county sheriffs' dispatchers is also quite unsatisfactory. Perhaps more significant than any other issue discussed in this report is the necessity to develop an efficient, Highway Patrol operated and controlled radio communications network on a 24-hour basis. Patrol efficiency is dependent upon an efficient communications system, and officer safety demands that this situation be corrected.

Speed Detectors. While the number and efficiency of radar equipment was unsatisfactory during the time of the field work, it is understood that recent acquisition of speed detection equipment has provided each patrol car with these tools.

Vehicle Assignment. The current methods of vehicle assignment to individual officers is satisfactory and should be retained. The division or post to which the officer is assigned should obtain a set of keys for each vehicle.

Seat Belts. All patrol vehicles are equipped with seat belts and most officers use them. The advantages of seat belts have been clearly established and this sets a good example for the general public. This practice should continue to be enforced.

Recommendations

1. Continue the present system of developing facilities available in the local area.
2. Develop a long-range plan, strategically locating police facilities where they will best meet Highway Patrol needs.
3. The Helena headquarters, which were located in leased space at the time the field work was conducted for this study, has since been moved to a state owned property. In the event that capital improvement funds are available, the facility should be remodeled to reflect the identity of the Highway Patrol.
4. The current district offices should have signs on interstate, major and secondary roads directing the general public to the location of the office.
5. Establish a uniform and equipment steering committee as described.
6. Eliminate the practice of keeping all foul weather gear in the rear seat of the patrol vehicles.
7. Investigate the feasibility of obtaining more efficient cameras.
8. Discontinue the practice of issuing rifles for each patrol vehicle.
9. Improve radio communications as described elsewhere in this report.
10. Issue radar equipment to every patrol vehicle.
11. Continue to assign vehicles to individual officers.
12. Continue the practice of utilizing automobile seat belts.

APPENDIX II

Suggested Legislation: AN ACT ESTABLISHING
A DEPARTMENT OF STATE POLICE

Suggested Legislation

[AN ACT ESTABLISHING A DEPARTMENT OF STATE POLICE]

(Be it enacted, etc.)

1 SECTION 1. *Findings and Purpose.*

2 (a) The [legislature] finds it to be in the best interests of citizens of this state that a state law en-
3 forcement agency be established so that an effective and coordinated statewide attack upon crime may
4 be mounted, state-local cooperation in law enforcement strengthened, necessary but expensive spe-
5 cialized facilities and services made available to local law enforcement agencies throughout the state,
6 adequate general police protection made available to rural areas, and centralized information about
7 crime and criminals within the state maintained on a uniform and systematic basis for dissemination
8 to law enforcement agencies in this and other states and to the public.

9 (b) It is the purpose of this act to establish a [department of state police] and to provide for its
10 powers, duties, and activities. The [department], as provided by law, shall safeguard the lives and safety
11 of persons within the state, protect property, and assist in securing to all persons the equal protec-
12 tion of the law. This includes preserving the public peace; detecting and preventing the commission
13 of crime; enforcing the laws and ordinances of the state and local subdivisions; apprehending and
14 arresting criminals and those who violate or are lawfully accused of violating such laws and ordi-
15 nances; preserving order at public places; maintaining the safe and orderly flow of traffic on public
16 streets and highways, cooperating with and assisting local law enforcement agencies in carrying out
17 their respective duties; and discharging its duties and responsibilities with the dignity and manner
18 which will inspire public confidence and respect.

19 SECTION 2. *Definitions.* As used in this act:

20 (a) "Assigned state policeman" means a police officer detailed from the [state law enforcement
21 agency] to a rural jurisdiction to assist in or assume police functions as agreed upon by the rural
22 jurisdiction and the director.

23 (b) "Civilian classification" means the position held by a civilian employee.

24 (c) "Commissioned rank" means any of the four highest ranks within the [department].

25 "Non-commissioned rank" means any other rank. Neither term includes the director.

26 (d) "Director" means the head of the [state law enforcement agency].

27 (e) "Employee" means any employee of the [state law enforcement agency]. A "police em-
28 ployee" is an employee to whom the director assigns the powers contained in Section 4. A "civilian
29 employee" is an employee other than a police employee.

1 (f) "Laboratory" means the state crime laboratory created by Section 5.

2 (g) "Law enforcement agency" means any law enforcement agency of any department, county,
3 or municipality of the state, including sheriffs, and unless otherwise limited also includes similar
4 agencies of other states and the United States of America.

5 (h) "Local police agency" means a police agency of one or more persons employed full-time by
6 a political subdivision of this state for the purpose of preventing and detecting crime and enforcing
7 laws and whose employees are authorized to make arrests for law violations.

8 (i) "Merit system" means the merit system law as established and administered pursuant to
9 [state civil service or personnel act citation], and includes all provisions of said law.

10 (j) "Motor vehicle" means a motor vehicle as defined in [cite appropriate section of motor ve-
11 hicle law].

12 (k) "Offense" means an act which is a felony, a misdemeanor, [or a violation of a county or
13 municipal criminal code].

14 (l) "Rank" means the status of one or more police employees having the same relative position
15 in the chain of command established by rule. "Grade" means the status of one or more police em-
16 ployees having the same primary areas of duty and responsibility within a rank.

17 (m) "Rule" means any rule, regulation, order, or other directive adopted by the director pur-
18 suant to this act. A rule is not for any purpose a rule as defined in the [administrative procedure act or
19 other appropriate citation].

20 (n) "Rural jurisdiction" means any county¹ that is not all or part of a Standard Metropolitan
21 Statistical Area as designated by the United States Office of Management and Budget, or any local unit
22 of general government within such a county, or any combination thereof.

23 SECTION 3. Powers of the [state law enforcement agency] and of Police Employees.

24 (a) The duties and powers of the [state law enforcement agency] with respect to law enforcement
25 are supplemental to, and concurrent with, similar powers and duties conferred by law upon other
26 law enforcement agencies of the state in their respective jurisdictions. Technological developments,
27 changes in the population and economy of the state, and other factors directly related to proper law
28 enforcement require effective cooperation between all such agencies in order to provide efficient
29 utilization of equipment, personnel, and information and prompt means of collection, analysis, and
30 dissemination of information relevant to the duties of such agencies. The duties imposed upon the
31 [agency] by this subtitle shall be construed to limit the powers or responsibility of any other law en-
32 forcement agency or to make any such agency subject to the supervision of the [agency].

33 (b) The director and employees designated by him as police employees shall have, throughout

¹In New England, a definitional basis other than county lines would need to be used

1 the state, the same powers, privileges, immunities, and defenses as sheriffs, constables, police officers,
2 and other peace officers possessed at common law and may now or hereafter exercise within their
3 respective jurisdictions. Any warrant of arrest may be executed by a police employee in any part of
4 the state without further endorsement.

5 [(c) Police employees shall not act within the limits of any incorporated municipality which
6 maintains a police force except

7 (1) when in pursuit of an offender;

8 (2) when in search of an offender or suspected offender wanted for a crime committed out-
9 side of the limits of the municipality, or when interviewing or seeking to interview a witness or sup-
10 posed witness to such a crime;

11 (3) when requested to act by the chief executive officer or the chief police officer of the
12 municipality;

13 (4) when ordered by the governor to act within the municipality;

14 (5) when enforcing the motor vehicle laws of this state; or

15 (6) to make lawful arrests without warrant for any violation of the criminal laws of the state
16 that they may witness.]

17 [OR]

18 [(c) Police employees acting within the limits of any municipality which maintains a police force
19 shall advise the chief executive officer or the chief police officer of the municipality as to actions
20 taken in pursuit of their duties.]

21 (d) No police employee shall be placed on detached service and act for any Federal department,
22 agency, or committee outside of the state of [] without the written approval of the governor or as
23 otherwise provided by law. [Insert appropriate citations of existing laws.]

24 SECTION 4. *Uniform Crime Reporting System.*¹

25 (a) Within the [state law enforcement agency] there is hereby established a division of [criminal
26 identification information, and reports] for centralization of information with regard to crime in the
27 state. The division shall:

28 (1) develop and operate an information system which, in the judgment of the [administrator]
29 of the division, will be useful in the reduction of crime and the administration of justice;

30 (2) obtain and file fingerprints, descriptions, photographs, and any other available identi-
31 fying data on persons who have been arrested or taken into custody in this state for any offense for
32 which the maximum lawful penalty is [two] years;

33 (3) cooperate with all law enforcement agencies in the state to establish a system of crim-

¹Either in this section specifically, or by citations of other general or special laws, states should deal with rights of privacy as they relate to the centralization of data concerning known and suspected offenders.

1 inal identification, and furnish all reporting officials with forms and instructions which specify the
2 nature of information required and the time it is to be forwarded;

3 (4) make available upon request, to all local and state law enforcement agencies in this state,
4 to all Federal law enforcement and criminal identification agencies, and to state law enforcement agen-
5 cies in other states, any information in the files of the division which will aid these agencies in the
6 performance of their official duties; and

7 (5) cooperate with other law enforcement agencies in this state and the crime information
8 agencies in other states in developing and operating an interstate, intrastate, and national system of
9 criminal identification, records, and statistics.

10 (b) All local law enforcement agencies in the state shall obtain and file fingerprints, descriptions,
11 photographs, and other available identifying data on persons who have been lawfully arrested or
12 taken into custody in this state for any offense for which the maximum penalty is [two] years or more.
13 It shall be the duty of all chiefs of police, sheriffs, prosecuting attorneys, courts, judges, parole and
14 probation officers, wardens, or other persons in charge of correctional institutions, and of hospitals
15 and institutions for the criminally insane in this state to furnish the division with data of such
16 scope, at such times and in such form as deemed necessary by the director to carry out the purposes
17 of Section 5 (a)(2).

18 (c) The [state law enforcement agency] shall collect, analyze, and disseminate information rela-
19 tive to the occurrence of motor vehicle accidents within the state. The [department of motor vehicles,
20 the state roads commission, the department of postmortem examiners, commissions concerned with
21 highway safety] and all law enforcement agencies of the state shall furnish information relative to
22 such accidents at such time and in such form as may be prescribed by rule of the director.

23 (d) The [state law enforcement agency] shall at least monthly publish statistics concerning the
24 occurrence and cause of all motor vehicle accidents within the state. The [state law enforcement
25 agency] shall also publish periodic statistics of the incidence of crime within the state. No such sta-
26 tistical report shall name or otherwise identify a particular known or suspected offender. Reports re-
27 quired by this section shall be distributed to all agencies which contributed information contained in
28 such reports, to the press, and to other interested persons. In addition, the director may prescribe by
29 rule the conditions under which reports of specific motor vehicle accidents may be made available
30 upon request to the public; [insert language providing an appropriate fee to cover costs of report
31 preparation].

32 SECTION 5. *Establishment of a State Crime Laboratory.*

33 (a) There is hereby established within the [state law enforcement agency] one or more laboratories
34 to provide as may be necessary technical assistance to state and local law enforcement officers in the
35 various fields of scientific investigation in the aid of law enforcement.

1 (b) Persons employed in the laboratory shall not be empowered by reason of their employment
2 in the laboratory to make arrests or to serve or execute criminal process.

3 (c) The laboratory shall maintain and conduct criminal analysis services for the investigation
4 and prosecution of crime in such fields as ballistics, chemistry, handwriting comparison, metallurgy,
5 comparative micrography, lie detector and deception test operations, fingerprinting, toxicology, and
6 pathology.

7 (d) The laboratory shall not undertake investigation of criminal conduct except as ordered by the
8 director. A sheriff, municipal police chief, [district attorney], warden, or the [attorney general] may
9 request, and the governor may order, the director to authorize an investigation.

10 Upon request of the head of any state department that has law enforcement responsibilities,¹
11 the director may authorize the laboratory to provide scientific and technological services to the re-
12 questing department, provided that these services relate directly to, and are necessary for, the effective
13 performance of law enforcement responsibilities which by statute have been vested in the requesting
14 department.

15 (e) Upon request of the [attorney general], the services of the laboratory may be provided in
16 civil cases in which the state or any department, bureau, agency, or officer of the state is a party in
17 an official capacity.

18 [(f) The [department] may obtain services from the consolidated state laboratory.]²

19 (g) The director may decline to provide laboratory service as he deems appropriate except on
20 order of the governor.

21 (h) Fees may be charged for the services performed at the laboratory reasonable to each appli-
22 cable case referred for investigation to the laboratory.

23 (i) Whenever the director is informed by the submitting officer or agency that physical evidence
24 in the possession of the laboratory is no longer needed, he may, unless otherwise provided by law,
25 either destroy the evidence or retain it in the laboratory. Whenever the director receives information
26 from which it appears probable that such evidence is no longer needed, he may give written notice to
27 the submitting agency and the appropriate [district attorney], by registered mail, of his intention to
28 dispose of the evidence, and if no objection is received within [20] days after the notice was received,
29 he may order disposal of the evidence.

30 SECTION 6. *Establishment of Statewide Police Communication System.* The [state law enforcement
31 agency] shall establish a police communication system and provide a capability to local law enforce-
32 ment agencies to communicate with one another on a statewide basis and to permit the [state law en-

¹In order to clear up any ambiguity in the meaning of "law enforcement responsibility," states may wish to name each agency con- sidered to have such responsibility for purposes of this act or of this subsection.

²Virginia and a few other states provide centralized laboratory services to all state agencies.

1 *forcement agency*] to communicate with law enforcement agencies in other states. Any law enforcement
2 agency of the state or any state agency may be permitted to connect with and use any teletypewriter,
3 voice communication, data communication, message switching, or other communication system es-
4 tablished by the [*state law enforcement agency*] for statewide use. Such connection and use shall be
5 subject to and in accordance with rules established by the director to promote the purposes of this
6 subtitle, to insure the effective, economical, and efficient utilization of the entire system, including
7 maximum compatability among components thereof, and to prevent interference with the law en-
8 forcement duties of the [*state law enforcement agency*]. Violation of such rules shall constitute suffi-
9 cient basis for withdrawal of permission to connect with and use such system.

10 SECTION 7. *Training Facilities.* The [*state law enforcement agency*] is authorized, within the limits
11 of funds available, to construct and operate facilities for the training of its police and civilian em-
12 ployees. It shall make its training facilities available to any law enforcement agency of the state to
13 the extent permitted by fiscal appropriation and the availability of such facilities and employees of
14 the [*state law enforcement agency*]. The extent of use of such facilities, the course of training, and the
15 qualifications of persons using such facilities shall be established by rule of the director.

16 SECTION 8. *Assigned State Police Force and Police Services Provided on a Contractual Basis.*

17 (a) Any rural jurisdiction may contract with the director for the purpose of receiving full-time
18 assigned state policemen and various other police services where they are otherwise not available. The
19 contract shall be for a period of not more than [] years and may be renewed. The contract shall pro-
20 vide for reimbursement by the local jurisdiction to the [*state law enforcement agency*] [*state finance*
21 *agency*] of [100] percent of salary [and other] costs attributable to the assigned state policemen.¹

22 (b) The director shall supervise and direct assigned state policemen. In addition to his state law
23 enforcement duties, each assigned state policeman providing services in a rural jurisdiction shall en-
24 force the public local laws and shall have the same powers as officers of the rural jurisdiction unless
25 specifically limited by the contract.

26 SECTION 9. *Management of the [State Law Enforcement Agency].*

27 (a) The affairs and operations of the [*state law enforcement agency*] shall be supervised by a
28 director. The director shall be appointed by the governor with the advice and consent of the senate.
29 [The person so appointed must be qualified on the basis of training, experience, and ability to dis-
30 charge the duties of the director.]

31 (b) The director shall have the power to make any rules necessary to promote the effective and
32 efficient performance of the duties of the [*agency*] and to ensure the proper functioning of the
33 [*agency*] and its employees.

¹States may desire to include small municipalities not in a position to provide adequate police services on a round the clock basis, whether or not they are in metropolitan or rural areas.

1 (c) In supervising and directing the affairs of the [agency] and in exercising the powers referred
2 to in the preceding subsection, the authority of the director shall include, but shall not be limited to,
3 the powers:

4 (1) to determine and establish the form of organization of the [agency];

5 (2) to create subordinate organizational subdivisions within the [agency]; to determine and
6 define the functions, duties, and responsibilities of each such organizational subdivision; and, from
7 time-to-time, to reclassify and redefine the functions, duties, and responsibilities of each such organi-
8 zational subdivision; and, from time to time, to reclassify and redefine the functions, duties, and re-
9 sponsibilities of any departmental subdivision, [whether created by the director or by law];

10 (3) to assign and reassign, allocate and reallocate, employees of the [agency] as in his judg-
11 ment may be necessary to best serve the needs of the [agency] and the public interest;

12 (4) to establish standards, qualifications, and prerequisites of character, training, education,
13 and experience for all employees;

14 (5) to determine and establish such ranks and grades and, in accordance with the merit
15 system, such civilian classifications as he may deem necessary and appropriate;

16 (6) to designate the authority, responsibility, and duties of such ranks, grades, and civilian
17 classifications and the order of succession to positions of command within the [agency].

18 (7) to appoint, promote, reduce in rank or civilian classification, reassign, reclassify, retire,
19 and discharge all employees in the manner prescribed by law;

20 (8) to regulate attendance, conduct, training, discipline, and procedure for all employees
21 of the [agency];

22 (9) to provide systems for periodic evaluation and improvement of the performance and
23 physical condition of employees, including in-service training programs and courses;

24 (10) to establish headquarters, barracks, posts, commands, and other regional facilities in
25 such localities as may be necessary for the efficient performance of the duties of the [agency] and to
26 discontinue such facilities when such need ceases to exist;

27 (11) to purchase or otherwise acquire such land, facilities, equipment, or services as are
28 deemed essential for the needs of the [agency] or its employees in carrying out their duties, in the
29 manner prescribed by law;

30 (12) to sell or dispose of land, facilities, or equipment as such become unnecessary or unfit
31 for further use, in the manner prescribed by law;

32 (13) to establish and modify systems for the reception, processing, and maintenance of
33 reports and records of occurrences or alleged occurrences of crime and motor vehicle accidents within
34 the state, and of the administration, management, and operations of the [agency]; and to establish pro-
35 cedures, not inconsistent with law, for the safekeeping, copying, and destruction of departmental rec-

1 ords; and

2 (14) to suspend, amend, rescind, abrogate, or cancel any rule adopted by him or by any
3 former director.

4 SECTION 10. *Annual Report.* On [January 1] of each year the director shall transmit to the gover-
5 nor and [general assembly] a report covering the work of the agency for the preceding 12 months.
6 The report shall contain any recommendations for changes in legislation which the director believes
7 necessary to improve the capability of state and local law enforcement agencies in the state or to other-
8 wise prevent and reduce crime in the state.

9 SECTION 11. *Separability.* [Insert separability clause.]

10 SECTION 12. *Effective Date.* [Insert effective date clause.]

APPENDIX IV

Written Directives System

Control Through Inspection

Area Inspection Report

Departmental Discipline

IAS Complaint Record Card

Citizen - Police Complaint Form

Disciplinary Charge Sheet

Example of Model Police Disciplinary Order

Fiscal Management

Capital Asset Inventory Procedures

News Media Relations and Public Information Policy

Administrative Filing System

Police Mutual Aid Agreement

Police Mutual Aid Agreement (Washington, D. C.)

WRITTEN DIRECTIVES SYSTEM

Efforts to improve the system of issuing written orders should seek the following goals:

1. Systematic classification of written directives.
2. Standard format.
3. Adequate reference indexing system.
4. Centralization and restriction of authority to issue written directives.
5. Adequate distribution to insure all personnel affected by written directive are fully acquainted with its contents.
6. Restricted distribution of those directives which affect limited numbers of personnel units.
7. Uniformity and control of numbering and indexing systems.
8. Provisions for transferring directives into manual form.
9. Inspection to insure that the system is maintained according to specifications and that the contents of directives are understood and followed.

Written directives should take one of the following forms:

1. General Orders - Permanent directives of policy and procedure affecting more than one subordinate unit.
2. Special Orders - Directives affecting only a specific segment of the organization or statements of policy or procedure regarding a specific circumstance or event which is of a temporary or self-cancelling nature.
3. Personnel Orders - Announcements of changes in the status or movements of personnel.
4. Instructional Material - Instructional and training material which is usually found in manual form in many police organizations.
5. Memoranda - Transmitters of information of interest but not necessarily directive or to provide written direction at levels of command not authorized to issue general or special orders.

General Order Indexing and Manuals

The proposed format for general orders will permit the development of a General Duty Manual with sections dealing with certain topics and an extensive cross-indexing

system. The quality of the index is the key to such a manual and a good one will expedite reference to the material contained therein. The General Duty Manual should also contain much of the general rules and regulations content.

Binders to contain manuals should be provided in sufficient quantities to each office. They should be heavy-duty three-ring binders with lifters and lettered dividers of heavy card-stock. Rings of 1-1/2 inches or more in diameter are most suitable. The binders should be appropriately labeled and numbered and a record of assigned numbers kept in some central location to assure control.

Authority for Indexing and Numbering

Proper cross-indexing is important to the success of the proposal; therefore, responsibility should be placed at each level to assure uniformity and consistency. Similarly, the authority and responsibility for numbering general orders and assigning them to sections should rest in one place at each level to assure that two orders do not receive the same number, section assignment, etc. For this reason, it is suggested that Research and Development be responsible for indexing and assigning numbers to all general orders and that at the two lower levels some individual or unit be assigned similar responsibility. The cross-index system is provided so that one may be able to refer to an order under a number of possible headings and find it.

Dissemination of Orders

Everyone affected by an order should receive a copy of it and should be required to acknowledge in writing its receipt and that the contents are understood. Therefore, everyone subordinate to the issuing authority would receive a copy of a general order, and everyone affected by the other types of orders would receive copies. A dissemination system should be developed to meet these requirements.

Special Orders, Personnel Orders and Memoranda

Special orders, personnel orders and memoranda need not be classified, indexed and installed in binders in the same manner as general orders because they relate to specific matters. Therefore, they can easily be integrated into the administrative filing system

Research, however, should have a master file of all orders and memoranda for reference and documentation purposes.

Review

The proposed system requires a review every year of orders that are not self-cancelling or otherwise of an obviously temporary nature. This will assure that policies and

procedures are systematically reviewed and kept current. It will also facilitate the development of manuals where all orders and instructional material relating to a given procedure will be in one place. For example, reporting procedures and filing practices would be stated in the form of specific manuals rather than in the General Duty Manual.

Inactive or irrelevant orders can be purged from the active files during this review.

Revision

When all or part of a general order is revised, it will retain the original section number and the fact that it has been revised and the date will be noted on the affected pages. When only part of a general order is revised, only the affected pages need be rewritten and the revision information noted. The obsolete material should be removed from the manual and destroyed.

Advantages of Proposed System

The proposed program has the following advantages:

1. Provides for centralization and restriction of authority to issue written orders to minimize conflicts and deviation from accepted policy and procedure and duplication of written instructions.
2. Promotes distribution of directives on a need-to-know basis and at the same time assures that everyone who possesses the need receives the information.
3. Systematic classification of information, according to its nature, and further indexing to expedite reference.
4. Control over the number and indexing system.
5. Systematic inspection to assure compliance with the procedure and to maintain current and accurate indexes.

Exhibits

Exhibit I -shows the recommended format and offers definitions for each classification of order.

- Exhibit II -describes the form of the proposed General Duty Manual and its features, organization and use.
- Exhibit III -shows in outline form an example of a special order.
- Exhibit IV -shows a sample personnel order.
- Exhibit V -shows a sample memorandum.

General Order 75-1

Index as:

Orders and Memoranda
Memoranda and Orders
Written Orders and Memoranda
Directives

SUBJECT: WRITTEN ORDERS AND MEMORANDA

The purpose of this order is to establish a format and definitions for written orders and memoranda and to provide for proper preparation, indexing and distribution so that all personnel concerned are kept informed of new and revised policies and procedures.

This order consists of the following numbered sections:

- I. DEFINITIONS
 - II. ISSUING AUTHORITIES
 - III. DISTRIBUTION OF WRITTEN ORDERS AND MEMORANDA
 - IV. PREPARATION OF WRITTEN ORDERS
 - V. INDEXING AND GENERAL FORMAT
 - VI. CANCELLATIONS
 - VII. EFFECTIVE DATE
- I. Definitions
 - A. General Orders - General orders are issued to announce adoption or revision of policies and to direct procedures for the indefinite future. The following are proper subjects of general orders:

1. Institution of permanent procedures, rules, policies and manuals related thereto. Examples: investigative procedures, procedures relating to arrests and persons in custody.
2. Permanent changes in organization.
3. Installation of permanent programs which affect more than one unit subordinate to the issuing authority.
4. Permanent personnel policies and procedures including recruiting, hiring, training and promotion policies, but not including changes of status, such as transfers, promotion of individuals, etc.
5. Use of public facilities and equipment and expenditure of public funds.
6. Relationships with other agencies and citizens (the latter including punitive and nonpunitive contacts).

B. Special Orders - Special orders are issued to announce policies or direct procedures concerning a specific circumstance or event, or policy or procedure which is of a temporary or self-cancelling nature, or involving only specific segments of activities. The following are examples of proper subject matter for special orders.

1. Specific instructions to accomplish a particular objective. Once accomplished, there will be no need for continuing instructions.

Examples:

- a. Renumbering or assignment of police vehicles.
 - b. Assignment of working hours for specific commands.
2. Temporary procedures designed to cover a special occurrence or event which is of a temporary or short-termed nature.

Examples:

- a. Instruction for the use and deployment of manpower to a particular public gathering such as a parade route; including the assignment of individual duties. (Note: The general policy and directive for this type of duty should be contained in a general order.)
 - b. Authorization to change from winter to summer uniform and vice versa. (Note: Permanent uniform specifications should be detailed in general orders.)
 - c. Assignment of and special instructions for personnel in training programs, firearms qualification, etc.
 - d. Periodic records destruction dates and special instructions for the date concerned.
 - e. Annual budget preparation deadlines and special instructions for the year contemplated.
3. Directives to a specific unit or units which do not influence the operations of others and for which no organizational change is needed.

Examples:

- a. Maintenance of police-owned firearms inventory lists.
- b. Special evaluations of personnel in a particular unit.

C. Personnel Orders - Personnel orders announce the following in the order indicated.

1. The appointment of new personnel.
2. The assignment or transfer of members from one unit to another.

3. The promotion or demotion of personnel.
4. Suspension, dismissal, and restoration to duty.
5. Termination by resignation or retirement.

D. Instructional Material - This category should include instructional and training material usually found in manual form. The tone and form of instructional material is less rigid and more flexible than in general and special orders. Instructional material can include training guides and training bulletins. This material should form most of the bulk of manuals.

E. Memoranda - Memoranda may be issued for the following purposes:

1. To disseminate information or instructions which do not warrant a formal order.
2. To direct the actions of subordinates in specific situations or circumstances under a level of command not authorized to issue general or special orders. Such directions shall not deviate from or conflict with established policies and procedures as documented by higher authority.
3. To explain or emphasize portions of previously issued orders.
4. To inform members of actions or policies of other agencies.

II. Issuing Authorities

A. General Orders - General orders may be issued by the following levels of command:

1. General orders are issued by the chief of police to announce organization-wide policies and procedures which are applicable for the indefinite future.

B. Special Orders - Special orders may be issued only by those authorized to issue general orders.

- C. Personnel Orders - Personnel orders may be prepared only at the direction of the head of the organization.
- D. Instructional Material - Instructional material designed to be incorporated into various manuals, should be approved by the Training Division and by Research and Development.
- E. Memoranda - Memoranda may be issued by the head of the organization and other authorized command personnel.

III. Distribution of Written Orders and Memoranda

- A. Initially general orders will be issued in manual form to various officers.
- B. All personnel will be issued individual copies of all written orders and memoranda affecting them and they will then be held responsible for knowledge of and compliance with the contents of such orders and memoranda.
 - 1. Special orders, personnel orders, and memoranda will be distributed only to units affected. However, copies of all written orders and memoranda shall be sent to Planning for filing in a master file.
- C. The distribution shall be noted on each order.

IV. Preparation of Written Orders

- A. General and special orders issued at any level of command shall not conflict with established policy and procedures directed by a higher authority.
- B. All orders and memoranda will be stated in precise and positive terms with grammatical accuracy.
- C. Whenever applicable, all orders and memoranda shall carry notations directing attention to other published documents which are related. An order or memorandum which rescinds or supersedes other orders, rules, memoranda, etc., will carry the identifying notations (order number, rule number, etc.) necessary to connect them.

V. Indexing and General Format

- A. Orders and memoranda shall be numbered consecutively with a prefix consisting of the last two digits of the year, i. e., 75-1, 75-2, etc. In addition each general order shall receive section code consisting of letters and numbers.
1. The letters indicate the section of the General Duty Manual in which that order should be placed.
 2. The number designates the position of the order in the lettered section.
 3. All general orders shall be indexed and assigned section codes by Research and Development.
- B. All written orders and memoranda shall conform to the format of this order as closely as possible. All orders and memoranda will also indicate their effective date and a number will be obtained from Research and Development prior to its issuance.

VI. Cancellations

- A. All general orders, special orders, instructional material and memoranda which are not self-cancelling shall be reviewed yearly by Research and Development after the original date of issuance to determine if:
1. They should be cancelled.
 2. They should be incorporated into a manual.
 3. They should be revised.
 4. They should be continued in their present form.
- B. Cancellations and incorporations into other manuals shall be effected by a special order.

C. Reviews of orders and memoranda shall be conducted by
 Research and Development.

VII. Effective Date

This order is effective _____, 197_____.

(Signed by head of organization)

Distribution:

All personnel
All functional and geographic units

I have read the above order and fully understand it.

Signature

Date

General Order 75-2

Exhibit II
A-2

Index as:

General Duty Manual
Duty Manual
Manual, General Duty

SUBJECT: GENERAL DUTY MANUAL

The purpose of this order is to implement the General Duty Manual and to explain its features, organization and use. This manual contains all general orders in a codified form, as well as existing rules and regulations.

All personnel are responsible for knowing and carrying out the provisions of all general orders.

This order consists of the following numbered sections:

- I. COMPOSITION OF MANUAL
- II. FORMAT OF GENERAL ORDERS
- III. MAINTAINING THE MANUAL
- IV. ISSUANCE OF NEW INDICES AND PERIODIC INSPECTIONS
- V. EFFECTIVE DATE

I. Composition of Manual

A. Alphabetical Index

1. An extensive alphabetical cross-index system notes the location of any order or subject in the Manual. Use of this index should assist the reader in locating material rapidly.

B. Control Code Index

1. The Control Code Index lists each order in the Manual consecutively according to its number of publication. (Example: 75-1, 75-2, etc.). This will usually be a chronological listing by date of publication.

C. Lettered Sections

(NOTE: Refer to the 23 categories and Master Outline in the Appendix on Administrative Filing for suggestive initial letter designations and numerical refinements.)

1. The Manual is divided into lettered sections. Generally, orders contained in each section are related to each other, but because many orders are concerned with more than one subject, no specific attempt has been made to adhere to rigid topical classifications. Orders have been placed in lettered sections in order to permit flexibility and easy location.

II. Format of General Orders

- A. The upper right-hand corner of an order contains the section code (Example: B-3) and the date of publication.

1. The section code indicates the lettered section and the position of an order in that section.

- B. The upper left-hand corner of an order will identify the order as a Headquarters General Order and also show the consecutive number of issuance. (Example: 75-1, 75-2, etc.)

- C. Also included at the upper left hand corner of an order will be a list of indexing information by which the order is to be listed in the Alphabetical Index.

1. The indexing information will be listed under the words "Index as."

III. Maintaining the Manual

- A. The following procedure shall be used when placing a new order in this Manual.
 - 1. Insert the new indexing information shown in the upper left-hand corner in its proper alphabetical sequence in the Alphabetical Index.
 - 2. Insert the subject in its proper numerical sequence in the Control Code Index.
- B. When removing a replaced, superseded, or cancelled order from the Manual, cross out neatly all indexing data pertaining to the old order.
- C. This Manual is designed for use in a three-ring binder using alphabetical dividers.
 - 1. Binders will be issued to each member of the force and to functional and geographic subdivisions.
- D. Each individual member and each unit issued a General Duty Manual shall be responsible for maintaining it in the above manner in the binders provided.

IV. Issuance of New Indices and Periodic Inspections

- A. When a sufficient number of new orders has been issued, Research and Development will publish new index data.
 - 1. The index data will consist of an up-to-date Alphabetical Index and Control Code.
 - 2. Each person responsible for the maintenance of a General Duty Manual should check the material contained in the Manual against the new index sheets to ascertain whether the Manual is up-to-date.

B. The Inspections Division will conduct periodic inspections of General Duty Manuals in various offices.

- 1. The chief and commanders concerned will be notified, through channels, of any discrepancies discovered in such inspections.
- 2. At the time of the inspection, new indexing sheets will be distributed, when necessary.

V. Effective Date

The effective date of this order is _____, 197__.

(Signed by head of organization)

Distribution

- All personnel
- All functional and geographic units

I have read the above order and fully understand it.

Signature

Date

(Outline only, to show sequence of information)

Special Order 75-3

SUBJECT: BUDGET REQUESTS FOR 1975

The purpose of this order is to present the procedures, and detail the forms to be used in making budget requests for 1975.

I. Forms to Be Used

A. General Instructions

1. Three copies to chief.
2. Prepared in compliance with following instructions and submitted on or before _____, 1975

B. Form _____: Personnel

1. Submitted by:
2. Instructions.

C. Form _____: Services, materials, supplies, equipment

1. Submitted by:
2. Instructions.

D. Form _____: Building Repair, etc.

1. Submitted by:
2. Instructions

II. Review of Budget Requests

III. Special Instructions

By Order of:

The effective date of this order is _____, 197__.

Distribution:

Exhibit IV

Personnel Order 75-4

I. Appointments

<u>Name</u>	<u>Position</u>	<u>Eff. Date</u>	<u>Assign</u>
Doe, John W.	Patrolman	1 Jan 75	Academy
Jones, Martha B.	Clerk	1 Jan 75	Records

II. Transfers

<u>Rank</u>	<u>Name</u>	<u>From</u>	<u>To</u>	<u>Eff. Date</u>
Capt.	Jones, John P.	Patrol	Inspection	1 Jan 75
Lt.	Richards, D.	Staff	Patrol	1 Jan 75
Sgt.	Roe, Richard	Commun.	Inspection	1 Jan 75

III. Promotion

<u>Name</u>	<u>From</u>	<u>To</u>	<u>Eff. Date</u>
Roe, Richard	Patrolman	Sergeant	1 Jan 75
Richard, David	Sergeant	Lieutenant	1 Jan 75

IV. Suspensions, Dismissals, Restorations to Duty

<u>Rank</u>	<u>Name</u>	<u>Action</u>	<u>Eff. Date</u>
Patrol	Spade, Sam	Suspension (30 days)	1 Jan 75

V. Resignations, Retirements

<u>Rank</u>	<u>Name</u>	<u>Reason</u>	<u>Eff. Date</u>
Sergeant	Rodgers, Thos	Retirement	1 Jan 75
Patrol	White, John	Resigned	1 Jan 75

By Order of:

Date: _____, 1975

Distribution:

Memorandum 75-5

SUBJECT: Membership Opportunity in U. S. Junior Chamber of Commerce (Jaycees)

1. An invitation has been extended to select two Police Officers for membership in the local chapter of the U. S. Junior Chamber of Commerce.
2. Any male Police Officer who has not reached his 33rd birthday is eligible for selection. Interested Police Officers shall submit a brief resume of their background with a request for consideration for selection on or before _____, 1975.
3. Dues and other expenses in connection with membership in this organization will be paid by our organization.
4. Following a brief outline of the purpose of the U. S. Junior Chamber of Commerce. Further details can be obtained from Sergeant _____, Extension _____.
5. The U. S. Junior Chamber of Commerce is a civic organization for young men between the ages of 21 and 35, inclusive. It is dedicated to two purposes.
 - a. Improvement and development of the community.
 - b. Improvement and development of its individual members to train them for business advancement and civic leadership.

It may be defined as "a supplementary educational organization wherein the young men of the community may join together in a friendly spirit to inculcate civic consciousness in its membership by means of active participation in constructive projects which will improve community, State, and Nation."

In short, a Junior Chamber of Commerce is an organization of young men learning civic consciousness through constructive action.

The Officers selected will have an opportunity to receive leadership and public speaking training in connection with their membership.

6. Final selection will be made by a committee representing officials from the U. S. Junior Chamber of Commerce and this organization.

Date: _____, 1975

(Signature)

Distribution:

CONTROL THROUGH INSPECTION

The Need For Inspection

It is relatively easy to give an order to initiate a procedure, but much more difficult to determine whether the order is properly executed. If every member of a police agency were a paragon of virtue, industry, and judgment, it is likely that every order would be carried out exactly as planned and the desired goals accomplished. Unfortunately, human nature excludes such a possibility. Each officer is an individual and does not necessarily feel, think or act the way the chief would in a given set of circumstances—a matter completely apart from the question of "right or wrong." Thus, to insure some degree of consistency and cooperation, and of course, to minimize improper action, means of control must be established.

When we realize the extent to which authority is delegated in a police agency, the need for inspection becomes obvious. Since police service is largely a personal service, conditions in a police organization are largely traceable to the acts of policemen and the success or failure of their efforts.

Robberies are usually solved and others deterred by an officer's prompt and proper response to a call for help, and by efficient investigations. Physical violence and property damage frequently are averted by efficient patrol efforts and proper actions taken by policemen at the appropriate time and place. Since not all police operations are successful, and since policemen are subject to mankind's usual frailties, periodic inspections of their performance are necessary. Only then may failures and errors be discovered before they assume serious proportions. Men who know that their efforts will be critically scrutinized become more careful and more efficient. Further, those who consistently do superior work will be identified and given appropriate credit, thereby improving morale and overall performance.

A substantial part of the control process can be carried out through inspection. Inspection must not be thought of as an occasional activity. It is continuing, intricate, and above all, straightforward. Stealth and deceit have no place in a proper inspection program. If these attitudes are present, the things sought out will quickly go underground. Inspection must be considered as a normal, healthy, and desirable process to overcome equally normal, but sometimes undersirable, individual idiosyncrasies in work performance.

To establish effective control, three conditions must be met. The first is to set standards at strategic "control points." For example, review of a patrolman's report by his sergeant is a "control point." Another control point in the report-writing procedure is the report-review activity in the records center. The second condition is to check and report on performance; the third is to take corrective action when necessary.

A good control procedure should consider the following:

- Control points must be timely. The prime reason for control is to check defects early before damage or major changes become necessary. Control can occur prior to the act, during its performance, and after its completion. Control prior to the act usually occurs in the development and testing phase of a program. Through this control, one avoids or prevents the undesired things from occurring through the elimination and removal of undesirable conditions and procedures. However, most control is exercised while performance is taking place. The field supervisor usually engages in this kind of control, making it possible to spot significant deviations from established policy and procedures and to exercise proper corrective measures. Finally, control may take place after performance, by checking to see if the desired results are achieved.
- Control points should be established to provide comprehensive coverage. It is not feasible to cover an operation completely with control points. Control points are usually placed so that previously recognized bottlenecks have been covered. Control points that summarize and consolidate several operations are useful.
- Control points should be in balance. In establishing control points, one must make sure that various segments of the operation are treated and reviewed. Relatively unimportant procedures should not be given excessive attention.
- Inspection cost should be considered. One must consider the expense of special inspections and reports. Also, control should not be established so it will retard the operation. Nevertheless, it must be remembered that it is more economical to have control points over a process than to have no control and thus pay for the consequences.

There is a need for inspection by both line and staff officers. Inspection is most effective when accomplished by the first-line supervisor who himself is subject to the inspection process of others, but errors on the part of the first-line supervisor will be less easily discovered by the chief administrator than those which occur at a higher level. Failures at this level are also more difficult to correct if allowed to continue for some time before they are detected.

Thus, there is a need for staff specialists acting on behalf of the chief who can examine every facet of police operations.

Line Inspections

Line inspections are performed by supervisors through the regular lines of authority and responsibility. Each supervisor should regularly inspect the performance of his immediate subordinates.

The greatest volume of line inspection should be at the sergeant level. The sergeant's function is to supervise, teach, and inspect. Sergeants should inspect both oncoming and off-going shifts, giving particular attention to the physical condition, appearance, grooming, and equipment of subordinates. Because line inspections must be a part of a continuing process, they should extend into the field to enable the department to operate continuously at the required level of efficiency. Supervisors should ascertain by constant observation whether members of their command are thoroughly familiar with the criminal, traffic, and other problems on their beat. They must be sure that their subordinates are operating as efficiently as possible. Particular emphasis must be placed on insuring that subordinate personnel are performing in accordance with policies and directives of the department. Deficiencies must be called to the attention of the personnel involved, and if serious or continued, should be reported through channels for proper retraining, separation, or other corrective action.

The supervisor should consider informal inspection as routine, and should constantly examine, inquire about, and test the work of subordinates. Formal inspections have great value in promoting esprit de corps, and if accomplished regularly enough, they assist in keeping facilities and equipment clean and in good order.

Staff Inspections

Inspection is most effective when accomplished in the open by the first-line supervisor, who himself is subject to the inspection processes of others. But since it is apparent that failures at this level are less easily discovered by top administrators than those which occur higher up in the command structure, and less easily corrected if allowed to continue undetected for an extended period of time, there is a need for staff assistance immediately available to the chief to examine every facet of the police operation. Such assistance should oversee the total organization by a planned, periodic, open examination of all department functions for the purpose of discovering failures in the line inspections and failures in material, procedures, and personnel.

Staff inspection in police work is actually similar to quality control in industry. In addition to producing much of the information which is needed to plan and direct the police operation, staff inspection also helps to maintain efficiency and to eliminate undesirable results caused by poor practices and faulty techniques.

Personnel assigned to the inspections function must clearly understand that they are acting as representatives of the chief. They will refer their observations and comments via the commander of the section, to the chief for his action, without making any attempt to remedy deficiencies on the spot. Exception to this general policy should be made only when the nature of the deficiency is of such a magnitude that its continuation would result in irreparable harm to the department's operation or reputation. In such circumstances, direct action may be taken by use of command or supervisory authority.

We recommend that staff inspections be carried out by use of the following techniques:

- Examination of documents relating to police activities, such as reports, records, budget accounts, etc.

- Personal observation of equipment, personnel, and procedures.

- Contact with the public to obtain information concerning police services.

In the latter instance, case reports should be selected at random and the principals interviewed (including complainants, witnesses, and arrested persons) to gain their impressions of the quality and quantity of police service provided. In addition, selected members of the community such as businessmen, housewives, and professional persons should be polled concerning their opinion of the quality of police service.

During staff inspections, much of the information will have to be gained through observations by inspectors. Inspection hours and locations must be flexible and must obviously include observations of police activities during night, weekend, and holiday periods.

Routine, formal inspections of department facilities and equipment should be carried out monthly. For this purpose, a comprehensive checklist should be prepared. The form should be considered only as a guide and inspections should not be restricted to the listed items should a collateral deficiency be noted. Some trial and error must be expected in the development and use of such a checklist. At first, departmental inspection is time-consuming because of the need for on-the-spot changes in the listed items. But after several trials, it will be found that inspections can be carried out in reasonably short order. Formal inspections should be conducted in a completely open manner, with the full knowledge and awareness of all concerned. The inspector's approach should be impersonal and directed to things and procedures rather than to personalities.

The chief himself should periodically conduct an informal inspection of the department's operations, physical plant and equipment. This should be done at various times of the day and night. He should call unsatisfactory conditions to the attention of supervisors,

following the chain of command when possible. From time to time, the chief should also ride in patrol cars with officers, investigators, and supervisors for the specific and primary purposes of observing field operations.

Examples of checklists follow.

CHECKLIST FOR INSPECTION OF
INDIVIDUALS AND VEHICLES

INDIVIDUALS

Personal cleanliness
Grooming (hair and nails)
Uniforms - Maintenance,
neatness, cleanliness
Leather goods (belt,
holster, shoes) -
condition and polish

Personal Equipment

Gun - condition
Notebook
Flashlight
Other equipment issued
to each individual

.....

VEHICLES

Siren
Red light or dome light

Front Lights

Headlights (upper and
lower)
Directional (right and
left)
Fog lights (if any)
Spot light

Body Exterior

Check for any fresh body
damage

Tires

Check for condition and any
damage

Rear Lights

Brake
Tail
License plate
Turn signals (right
and left)
Backing lights (if any)
Fog lights (if any)

Interior of Vehicle

Cleanliness - both front
and rear
Check for any items left
in car - hazardous,
contraband, etc.
Readiness of shotgun
Test the electric lock
Spare ammunition in glove
compartment

Trunk

Spare tire - for inflation
Tire changing tools
Can of tire inflator
Flares
First aid kit
Blankets
Marking chalk
Wrecking bar
Broom
Cloth
100 foot tape

INSPECTION CHECKLIST

(This checklist indicates certain minimal areas for inquiry.
It should be expanded and revised as necessary.)

I. Material Resource Inspection

A. Buildings

1. Outside condition, repairs, et cetera
2. Accessibility to the area served
3. Parking facilities for the police, public, and impounded vehicles
4. Garage and service facilities
5. Inside condition of building; general housekeeping
6. Command and supervisors' offices
7. Clerical and supply areas
8. Inspection and briefing areas
9. Sanitary and toilet facilities
10. Range facilities and compliance with safety regulations of the organization
11. Jail or lockup facilities
12. Fire fighting equipment
13. Property facilities

B. Vehicle Inspection

1. General cleanliness inside and outside
2. Unrepaired damage
3. Needed repairs
4. Lubrication and maintenance record
5. Extra equipment such as flares, skid chains, first aid equipment, fire extinguisher, and other equipment as provided

C. Capital Outlay Equipment

1. Furniture
2. Typewriters and other office equipment
3. Locker facilities
4. Arsenal and riot equipment
5. Other equipment

D. Records kept by field operations units

1. Attendance and assignment
2. Information copies of incident or crime reports
3. Currentness of unit's manuals and written orders
4. Other authorized files or records

E. Personnel

1. Principal Organizational Unit Commander

- a. Personal history - age, date of present command, et cetera
- b. His availability; his working schedule
- c. His knowledge of conditions pertaining to his command
- d. How does he indoctrinate new patrolmen, new supervisors?
- e. Do records and reports of his command show review by him?
- f. Adherence to policies.
- g. Does he maintain good relations with business or other groups pertinent to his position?
- h. Training undertaken

2. Supervisory Personnel

- a. List by assignment
- b. Field supervision given
- c. Any other important information
- d. When last rotated and when due for rotation under management development program?
- e. Amount and type of training received

3. Officers

- a. List by assignment
- b. Check current driver's license and ID cards
- c. Is his manual and general order book up to date?
- d. Check physical appearance and attendance record for sickness and injury
- e. Condition of uniform and other equipment in compliance with rules
- f. Commendations and disciplinary history
- g. Check notebook filler, stolen car list and Daily Bulletin
- h. Amount and type of training received

II. Crime Reporting Audit and Procedure Evaluation

- A. Crime reports. Is the proper form used and is it in detail with all of the required information? Is it filed correctly and are supplementary reports in order?
- B. Miscellaneous reports. Are proper forms used and made out in detail? Is follow-up investigation made in necessary cases?

- C. Teletype reports. Are they maintained in accordance with procedures and do they indicate review by supervisory officers?
- D. Are criminal and traffic accident investigative reports (preliminary and follow-up) adequate?
- E. Report files. Are reports filed in accordance with procedures?
- F. Letter file. Are letters assigned properly and answered within the designated period?
- G. Spot maps and analysis reports. Are they maintained properly and accessible to patrolmen?
- H. Dispatching center. Are calls handled courteously and efficiently? Does the dispatcher use good judgment in the handling of emergencies? Does he have a good knowledge of the city and is his voice and diction satisfactory for dispatching?
- I. Telephone calls to police. Telephone calls should be monitored to determine if calls are being handled efficiently and courteously in conformance with procedures.
- J. Telephone calls to various organizational units and offices. Determine by test calls to units whether persons assigned to desk duty answering telephones are conforming with procedures.
- K. Teletype operation. Are messages teletyped properly and accurately in conformance with procedures?
- L. Response by radio cars. A time study should be made on response to radio calls to determine the length of time in arriving at the scene. It should also include the length of time taken to complete the mission and how soon the car returns to an on-duty assignment after completing the run.
- M. Calls for service. Select cases at random from files reflecting called-for police services. After interview with complainants or victims, submit a brief digest covering the following points:
 - 1. Is he satisfied with the reception of his call?
 - 2. Is he satisfied with the action of officers?
 - 3. What follow-up action was taken, and did it resolve or alleviate the complaint?
 - 4. If the interviewee was arrested, did he feel his arrest was justified and properly handled?

**CHECK LIST FOR INSPECTION OF
INDIVIDUALS AND VEHICLES**

INDIVIDUALS

Personal cleanliness

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neatness, cleanliness

Leather goods (belt,
holster, shoes) -
condition and polish

Personal Equipment

Gun - condition

Notebook

Flashlight

Other equipment issued
to each individual

VEHICLE INSPECTION

Siren

Red light or dome light

Front Lights

Headlights (upper and
lower)

Directional (right and
left)

Fog lights (if any)

Spot light

Body Exterior

Check for any fresh body
damage

Tires

Check for condition and any
damage

Rear Lights

Brake

Tail

License plate

Turn signals (right
and left)

Backing lights (if any)

Fog lights (if any)

Interior of Vehicle

Cleanliness - both front
and rear

Check for any items left
in car - hazardous,
contraband, etc.

Readiness of shotgun

Test the electric lock

Spare ammunition in glove
compartment

Trunk

Spare tire - for inflation

Tire changing tools

Can of tire inflator

Flares

First aid kit

Blankets

Marking chalk

Wrecking bar

Broom

Cloth

100 foot tape

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12. Fire fighting equipment
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3. Needed repairs
4. Lubrication and maintenance record
5. Extra equipment such as flares, skid chains, first aid equipment, fire extinguisher, and other equipment as provided

C. Capital Outlay Equipment

1. Furniture
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5. Other equipment

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- g. Does he maintain good relations with business or other groups pertinent to his position?
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- e. Amount and type of training received

3. Officers

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- b. Check current driver's license and ID cards
- c. Is his manual and general order book up to date?
- d. Check physical appearance and attendance record for sickness and injury
- e. Condition of uniform and other equipment in compliance with rules
- f. Commendations and disciplinary history
- g. Check notebook filler, stolen car list and Daily Bulletin
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 2. Is he satisfied with the action of officers?
 3. What follow-up action was taken, and did it resolve or alleviate the complaint?
 4. If the interviewee was arrested, did he feel his arrest was justified and properly handled?

AREA INSPECTION REPORT
 CATEGORY 1
 Area Organization

ZONE	DATE
AREA INSPECTED	INSPECTION NUMBER

INSPECTED BY	RANK	FOLLOW-UP REQUIRED <input type="checkbox"/> YES <input type="checkbox"/> NO
--------------	------	--

TYPE OF INSPECTION (check as appropriate)

<input type="checkbox"/> FORMAL	<input type="checkbox"/> PARTIAL
<input type="checkbox"/> INFORMAL	<input type="checkbox"/> COMPLETE
<input type="checkbox"/> SELF INSPECTION	<input type="checkbox"/> FOLLOW-UP OF PREVIOUS INSPECTION

INSTRUCTIONS: ATTACH CONSTRUCTIVE, CRITICAL OR COMMENDABLE COMMENTS, APPROPRIATELY REFERENCED, TO ANY ITEM CHECKED IN THE "ACTION REQUIRED" OR "REMARKS" COLUMN. "REMARKS" COLUMN MAY ALSO BE USED FOR SHORT RESPONSES. "INSPECTION SUMMARY" IS THE INSPECTING OFFICER'S OVER-ALL IMPRESSION OF THE EFFECTIVENESS WITH WHICH THE COMMAND HAS FULFILLED ITS RESPONSIBILITIES IN THIS CATEGORY. VERIFY CORRECTIONS BY INITIALING "CORRECTED" COLUMN.

ITEM	SATISFACTORY	ACTION REQUIRED	REMARKS	CORRECTED
CHAPTER 1 - ORGANIZATION CHART				
1 REVIEW THE AREA'S ORGANIZATION CHART				
A. ACCURACY OF CONTENT AND STRUCTURE				
B. CURRENTNESS				
C. COMPLETENESS				
D. AVAILABLE TO ALL PERSONNEL THROUGH AREA S.O.P.				
E. APPROPRIATELY DISPLAYED				
2 PERSONNEL KNOW THEIR PLACE IN THE ORGANIZATION				
A. HOW IS EMPLOYEE UNDERSTANDING ACCOMPLISHED				
B. BASIC ORGANIZATIONAL CONCEPTS CLEARLY SHOWN				
C. SPAN OF CONTROL REASONABLE				
D. LINES OF AUTHORITY CLEAR				
E. UNITY OF COMMAND APPARENT				
3 CHECK AT ALL SUPERVISORY LEVELS				
A. PLANNING				
B. ORGANIZING				
C. DIRECTING				
D. COORDINATING				
E. CONTROLLING				
F. SUPERVISORS KNOW TO WHOM THEY REPORT				
G. SUPERVISORS KNOW WHO REPORTS TO THEM				
CHAPTER 2 - JOB DESCRIPTIONS				
REVIEW JOB DESCRIPTIONS TO VERIFY:				
A. COMPLETENESS				
B. AVAILABILITY TO PERSONNEL				
C. DUTIES CLEARLY DEFINED				
D. CONSISTENT WITH ACTUAL TASKS INDIVIDUALS PERFORM				
E. CURRENTNESS WITH REVISIONS AT TIMELY INTERVALS				
F. AUTHORITY COMMENSURATE WITH RESPONSIBILITY				
CHAPTER 3 - INTERPERSONAL COMMUNICATIONS				
1.3 FREE FLOW OF INFORMATION WITHIN THE AREA				
COMMANDER TO SUPERVISORS				
COMMANDER TO TRAFFIC OFFICERS THROUGH SERGEANTS				
SUPERVISORS TO COMMANDER				
SUPERVISORS TO TRAFFIC OFFICERS				
TRAFFIC OFFICERS TO SUPERVISORS				
TRAFFIC OFFICERS TO COMMANDER THROUGH LEVELS				
BETWEEN UNIFORMED AND NONUNIFORMED PERSONNEL				
CHAPTER 4 - AREA AND STAFF MEETINGS				
1.4 COMMANDER ADEQUATELY PREPARED FOR MEETINGS				
SENIOR STAFF ITEMS PRESENTED EFFECTIVELY				
IS INTEREST OF GROUP EVIDENT				

AREA INSPECTION REPORT
CATEGORY 2
 Area Procedures and Local Orders

ZONE	DATE
AREA INSPECTED	INSPECTION NUMBER
INSPECTED BY	RANK
FDLLDW-UP REQUIRED <input type="checkbox"/> YES <input type="checkbox"/> NO	

TYPE OF INSPECTION (check as appropriate)

INSTRUCTIONS: ATTACH CONSTRUCTIVE, CRITICAL OR COMMENDABLE COMMENTS, APPROPRIATELY REFERENCED, TO ANY ITEM CHECKED IN THE "ACTION REQUIRED" OR "REMARKS" COLUMN. "REMARKS" COLUMN MAY ALSO BE USED FOR SHORT RESPONSES. "INSPECTION SUMMARY" IS THE INSPECTING OFFICER'S OVER-ALL IMPRESSION OF THE EFFECTIVENESS WITH WHICH THE COMMAND HAS FULFILLED ITS RESPONSIBILITIES IN THIS CATEGORY. VERIFY CORRECTIONS BY INITIALING "CORRECTED" COLUMN.

<input type="checkbox"/> FORMAL	<input type="checkbox"/> PARTIAL
<input type="checkbox"/> INFORMAL	<input type="checkbox"/> COMPLETE
<input type="checkbox"/> SELF INSPECTION	<input type="checkbox"/> FDLLDW-UP OF PREVIOUS INSPECTION

ITEM	SATISFACTORY	ACTION REQUIRED	REMARKS	CORRECTED
1 CHAPTER 1 - AREA OPERATING PROCEDURES				
1.1 DOCUMENTATION OF STANDARD OPERATING PROCEDURES				
A. IS EACH AREA MEMBER FAMILIAR WITH THE S.O.P.				
B. ARE THEY REVISED AND KEPT CURRENT				
C. CONFLICT WITH EACH OTHER OR DEPARTMENTAL ORDERS				
D. ARE THEY WITHIN DEPARTMENTAL POLICY				
E. IS A NUMBER AND INDEX SYSTEM USED				
F. S.O.P. AVAILABLE TO ALL PERSONNEL				
2 CHAPTER 2 - AREA COMMANDER'S ORDERS				
2.1 HOW ARE OTHER LOCAL ORDERS COMMUNICATED				
A. ARE THEY SUSPENDED FOR S.O.P. CONSIDERATION				
B. AVAILABLE TO ALL PERSONNEL FOR REFERENCE				
C. ARE THE ORDERS ACKNOWLEDGED				
3 CHAPTER 3 - SPECIAL DUTY ASSIGNMENTS				
3.1 NUMBER OF OFFICERS ASSIGNED				
A. HOW ARE THEY SELECTED				
B. WHAT ACTIVITIES DO THEY PERFORM				
C. ARE THERE CURRENT-EFFECTIVE JOB DESCRIPTIONS				
D. ACCOUNTABILITY ESTABLISHED				
E. TIME PROPERLY PLANNED				
F. DO THEY PERFORM ANY ENFORCEMENT ACTIVITIES				
G. IF LITTLE OR NONE, WHY				
H. IS USE OF ALL SPECIAL DUTY PERSONNEL JUSTIFIED				
I. APPROVED				
J. COULD SPECIAL DUTIES BE COMBINED				
K. ARE I. AND E. ACTIVITIES APPROPRIATE				
L. ARE THERE BETTER METHODS OF PERFORMING ANY DUTY				
4 CHAPTER 4 - LIMITED DUTY ASSIGNMENTS - PTM CHAPTER 20				
4.1 IS DEPARTMENTAL POLICY UNDERSTOOD				
A. ARE CASES REVIEWED REGULARLY				
B. HOW MANY NOW ON LIMITED DUTY				
C. ARE PROGRESS REPORTS BEING FORWARDED				
5 CHAPTER 5 - OTHER PROCEDURES				
5.1 HIGHWAY ENGINEERING DEFICIENCIES REPORTED				
A. SYSTEMATIC METHOD OF REPORTING				
B. STATE HIGHWAY TRAFFIC ENGINEER COORDINATION				
C. COUNTY ROAD TRAFFIC ENGINEER COORDINATION				
D. COMPLAINT PROCEDURE ESTABLISHED				
E. IS THERE A PATTERN INVOLVING ONE OFFICER				
F. IS THERE A PATTERN AS TO TYPE				
5.2 ABSENCE PROCEDURE IN S.O.P.				
A. OFFICER CALL IN PROCEDURE TO A SUPERVISOR				

ITEM	SATISFACTORY	ACTION REQUIRED	REMARKS	CORP.
B. CALL RECORDED				
C. FOLLOW-UP BY SUPERVISOR				
2 5 4 OUTSIDE EMPLOYMENT - HOW MANY				
A. LIST OF THOSE WITH OUTSIDE EMPLOYMENT AVAILABLE				
B. PERIODICALLY REVIEWED				
C. 4800 TIME CANCELLATION CLAUSE				
2 5 5 OVERTIME POLICY AND CONTROL IN S.O.P.				
A. PRIOR APPROVAL BY SUPERVISOR PROVIDED FOR				
B. 131 DESCRIPTIVE AND AUTHENTICATED				
C. BALANCE KEPT TO MINIMUM (NON-UNIFORMED).				
D. ANY BALANCES OVER 40 HOURS.				
E. MAJOR CAUSES FOR OVERTIME IDENTIFIED				
2 5 6 ACCIDENT INVESTIGATION PHOTOGRAPHS				
A. POLICY ON PHOTOGRAPHY SPELLED OUT IN S.O.P.				
B. ARE PHOTOGRAPHS SECURED AS EVIDENCE				
C. AUTHORIZED ACCESS TO SECURED FILE				
D. REVIEW INDICATE OFFICER PROFICIENCY				
E. ACCOUNTING PROCESS FOR BUDGETED FUND				
2 5 7 AMBULANCE-TOW TRUCK POLICIES IN WRITING				
A. ROTATION				
B. IS THERE A FILE OF COMPLAINTS				
C. REVIEW ADEQUACY OF SERVICE				
D. ARE INSPECTIONS CURRENT				
2 5 8 ARE PHONE NUMBERS OR ADDRESSES RELEASED				
A. SECURITY OF AREA ROSTERS				
B. VERIFICATION OF INTEREST SYSTEM ESTABLISHED				
2 5 9 DISPOSAL OF SEIZED WEAPONS CONFORM TO POLICY				
A. SECURED IN EVIDENCE LOCKER				
B. RECORDED BY COURT OFFICER				
C. PROCEDURE OF RECEIPTING RETURN OF WEAPON				
D. IF NOT DISPOSED OF BY COURT, TRANSFER TO SHERIFF				
2 5 10 STORAGE-DISPOSAL OF PROPERTY CONFORM TO POLICY				
A. SYSTEM OF STORAGE AND DISPOSAL				
B. APPROPRIATE RECORDS KEPT				
C. DRUGS, ALCOHOL, NO EVIDENCE, DISPOSAL PROCEDURE				
2 5 11 EMPLOYEE REPRESENTATION				
A. IS THERE AN AREA REPRESENTATIVE APPOINTED				
B. HOW IS HE APPOINTED				
C. DOES HE HOLD EMPLOYEE MEETINGS				
D. DOES HE PROVIDE MINUTES OF MEETINGS				
2 5 12 UNIFORM AND EQUIPMENT DAMAGE CLAIM PROCEDURE				
A. IS THE CLAIM INVESTIGATED BY SUPERVISOR				
B. HOW ARE DAMAGED ARTICLES SECURED				
C. HOW ARE DAMAGED ARTICLES DISPOSED OF				
2 5 13 VACATION ADMINISTRATION CONFORM TO POLICY				
A. IS THERE EXCESSIVE VACATION TIME ACCUMULATED				
B. HOW IS IT DISSIPATED				
C. HOW MANY HOURS WERE LOST IN LAST FISCAL YEAR				
2 5 14 SQUAD CLUB FUND ADMINISTRATION IN WRITING				
A. HOW ARE FUNDS ACCUMULATED				
B. ARE CONTRIBUTIONS ACCEPTED				
C. IS THERE AN ACCOUNTING SYSTEM				
2 5 15 DEPARTMENTAL AND AREA DIRECTIVES				
A. PROCEDURE FOR ACKNOWLEDGMENT ESTABLISHED				
B. DOES AREA UTILIZE RECEIPT PROCEDURE				

AREA INSPECTION REPORT
 CATEGORY 3
 Enforcement

ZONE	DATE
AREA INSPECTED	INSPECTION NUMBER

INSPECTED BY	RANK	FOLLOW-UP REQUIRED <input type="checkbox"/> YES <input type="checkbox"/> NO
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TYPE OF INSPECTION (check as appropriate)

<input type="checkbox"/> FORMAL	<input type="checkbox"/> PARTIAL
<input type="checkbox"/> INFORMAL	<input type="checkbox"/> COMPLETE
<input type="checkbox"/> SELF INSPECTION	<input type="checkbox"/> FOLLOW-UP OF PREVIOUS INSPECTION

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ITEM	SATISFACTORY	ACTION REQUIRED	REMARKS	CORRECTED
3.1 CHAPTER 1 - STATISTICAL REPORTS				
3.1.1 BOUND OR ARRANGED CHRONOLOGICALLY AND BY SUBJECT				
A. TABBED TO SEPARATE OFFICER'S ACTIVITIES				
B. FILES COMPLETE, CURRENT				
C. AVAILABLE AND USED BY SUPERVISORS				
D. TECHNIQUE USED TO SUMMARIZE AND PUBLISH				
3.2 CHAPTER 2 - ACCIDENT-ENFORCEMENT & PATROL SUMMARY				
3.2.1 REVIEW FOR MINIMUM OF PAST SIX MONTHS FINDINGS				
A. HOW DOES AREA COMMANDER HIGHLIGHT REPORT				
B. ANY MAJOR CHANGES COMPARED WITH PREVIOUS YEAR				
C. WAS CORRECTIVE ACTION NECESSARY				
D. SELECTIVE ENFORCEMENT PRINCIPLES APPLIED				
E. PROGRESS TOWARDS ACCOMPLISHING ANNUAL GOALS				
F. SIGNIFICANT INFORMATION AVAILABLE TO OFFICERS				
G. IS ACCIDENT REDUCTION BEING ACCOMPLISHED				
H. IS EFFORT PROPERLY DISTRIBUTED BY BEAT, TIME & DAY				
3.3 CHAPTER 3 - OFFICER ACTIVITIES				
3.3.1 OFFICERS IDENTIFIED BY NAME				
A. VARIETY OF ARREST ACTIVITY REASONABLE				
B. IF EXCEPTIONS, WHY				
C. ARE ALL OFFICERS SHOWING SOME COMMERCIAL				
D. PERCENT OF COMMERCIAL ARREST ENFORCEMENT				
E. LOWEST PRODUCING OFFICERS				
F. SIGNIFICANT CATEGORY DEFICIENCIES				
3.4 SUPERVISORY ENFORCEMENT FILES MAINTAINED				
A. AVAILABILITY TO SERGEANTS				
B. CONTENTS				
4 CHAPTER 4 - OFFICER ACTIVITIES-SUMMARY				
4.1 RELATIONSHIPS BETWEEN:				
A. ENFORCEMENT DUTY HOURS VS. TOTAL HOURS				
B. PATROL HOURS VS. IN-VIEW DUTY HOURS				
C. ACCIDENT HOURS VS. ACCIDENTS INVESTIGATED				
D. ENFORCEMENT INDEXES ACCEPTABLE				
E. ANY APPARENT FAILURE TO REPORT SERVICES, E.G.:				
1. NO VERBAL WARNINGS SHOWN				
2. OTHER SERVICES NOT SHOWN, HIGH PATROL TIME				
F. SPREAD OF ACTIVITY OVER ENTIRE SHIFT				
5 CHAPTER 5 - REQUESTS FOR CASE DISMISSAL				
5.1 IS AREA'S TOTAL UNUSUALLY HIGH				
A. HOW MANY IN LAST YEAR				
B. HOW MANY INVOLVED COMMERCIAL ARRESTS				
C. HOW MANY INVOLVED A.I. ARRESTS				

ITEM	SATISFACTORY	ACTION REQUIRED	REMARKS	CORRECTIVE
3.6 CHAPTER 6 - AREA LEVEL ENFORCEMENT STUDIES				
3.6.1 OTHER AREA ANALYSES USED				
A. PERTINENT				
B. DF VALUE				
C. HOW USED				
3.7 CHAPTER 7 - DEPLOYMENT VS. PROBLEM				
3.7.1 DD SCHEDULED DAYS OFF REFLECT SELECTIVITY				
A. ACCIDENT FREQUENCY				
B. CONGESTION				
C. SPECIAL EVENTS				
D. VACATION SCHEDULES COMPLY WITH DEPARTMENT POLICY				
E. VACATION RELIEF PROVIDED SPECIAL DUTY OFFICER				
3.8 CHAPTER 8 - DEPARTMENTAL POLICY CONFORMANCE				
3.8.1 USE OF CHP FORM 215 CONFORMS TO POLICY				
A. SPEED ENFORCEMENT				
B. NUMBER OF VIOLATIONS PER DOCUMENT				
C. TYPE OF VIOLATION ON THE DOCUMENT				
D. WEIGHT SIZE AND LOADING TOLERANCES				
E. COLLISION INVESTIGATION FOLLOW-UP				
F. FOLLOW-UP ON FORMS 62 AND 281				
3.9 CHAPTER 9 - BEAT ORGANIZATION				
3.9.1 BEATS CONFORM TO REQUIREMENTS				
A. STATE HIGHWAY BEATS				
B. COUNTY ROAD BEATS				
C. AREA BEATS				
D. SPECIFIED BEATS				
E. IS THERE INDICATED NEED FOR ADDITIONAL BEATS				
F. ONE UNIT ASSIGNED TO ONE BEAT, NORMALLY				
G. CAN ADJACENT BEATS BE COMBINED				
H. PROVIDE FOR IDENTIFICATION OF THE PROBLEM				
3.10 CHAPTER 10 - BEAT DESCRIPTIONS AND MAPS				
3.10.1 DESCRIPTIONS AND MAPS LAST REVIEWED				
A. CHP FORM 283 ON FILE FOR EACH BEAT				
B. IS AN ADEQUATE BEAT MAP POSTED				
3.11 CHAPTER 11 - BEAT INSTRUCTIONS				
3.11.1 ARE INSTRUCTIONS CURRENT				
A. LAST REVISION DATE				
B. PRINCIPAL LANDMARK LOCATIONS INCLUDED				
C. APPROXIMATE SEASONAL TRAFFIC FLOW FIGURES				
D. HIGH FREQUENCY ACCIDENT LOCATIONS IDENTIFIED				
E. HAZARDOUS HIGHWAY LOCATIONS				
F. PRINCIPAL ACCIDENT-CAUSING VIOLATIONS				
G. RECOMMENDED PATROL PROCEDURES				
3.12 CHAPTER 12 - POST ARREST PROCEDURES				
3.12.1 ANY UNIQUE POST ARREST PROCEDURES				
A. TYPE OF BREATH TESTING EQUIPMENT AVAILABLE				
B. HOW OFTEN ARE TRAINING SESSIONS HELD				
C. DO SUPERVISORS REVIEW INTOXICATION REPORTS				
D. METHOD OF INFORMING ARRESTEES OF RIGHTS				
E. HOW ARE ARRAIGNMENTS HANDLED				
F. WHAT METHOD IS USED TO OBTAIN BLOOD INFORMATION				
G. HOW IS TRANSPORTATION OF FEMALES ACCOMPLISHED				
H. WHAT PROCEDURES ARE SET UP FOR JUVENILE ARRESTS				
I. PROCEDURE FOR BOOKING INJURED PRISONERS				
J. ARE ALL THE PROCEDURES IN WRITING				

INSPECTION SUMMARY

AREA INSPECTION REPORT
CATEGORY 4
 Facility Security and Maintenance

ZONE

DATE

AREA INSPECTED

INSPECTION NUMBER

INSPECTED BY

RANK

FOLLOW-UP REQUIRED

YES NO

TYPE OF INSPECTION (check as appropriate)

INSTRUCTIONS: ATTACH CONSTRUCTIVE, CRITICAL OR COMMENDABLE COMMENTS, APPROPRIATELY REFERENCED, TO ANY ITEM CHECKED IN THE "ACTION REQUIRED" OR "REMARKS" COLUMN. "REMARKS" COLUMN MAY ALSO BE USED FOR SHORT RESPONSES. "INSPECTION SUMMARY" IS THE INSPECTING OFFICER'S OVER-ALL IMPRESSION OF THE EFFECTIVENESS WITH WHICH THE COMMAND HAS FULFILLED ITS RESPONSIBILITIES IN THIS CATEGORY. VERIFY CORRECTIONS BY INITIALING "CORRECTED" COLUMN.

- FORMAL
- PARTIAL
- INFORMAL
- COMPLETE
- SELF INSPECTION
- FOLLOW-UP OF PREVIOUS INSPECTION

ITEM	SATISFACTORY	ACTION REQUIRED	REMARKS	CORRECTED
1 CHAPTER 1 - USE AND ADEQUACY OF FACILITY				
1 IS FACILITY ADEQUATE FOR PRESENT NEEDS				
A. IF NOT, WHAT ACTION HAS BEEN TAKEN				
B. IF LEASED, WHEN DOES LEASE EXPIRE. TERMS OF LEASE				
C. IS CHP VEHICLE PARKING ADEQUATE				
D. IS PUBLIC PARKING ADEQUATE				
E. IS PVI CLEARANCE AREA MARKED				
F. AVAILABILITY TO PUBLIC				
G. HOURS POSTED				
H. PUBLIC TELEPHONE AVAILABLE				
2 IS AVAILABLE FLOOR SPACE PROPERLY UTILIZED				
A. NEATLY ARRANGED				
B. SAFE ENVIRONMENT				
C. STORAGE EFFECTIVELY UTILIZED				
D. LIGHTING ADEQUATE				
E. HEATING-COOLING ADEQUATE. FILTERS CHANGED REGULARLY				
F. ALTERATIONS NEEDED				
2 CHAPTER 2 - INTERIOR APPEARANCE				
2 1 GENERAL APPEARANCE AND UPKEEP				
A. FLOORS				
B. WALLS - CEILINGS				
C. RESTROOMS				
D. WHEN WAS THE LAST PAINTING				
E. PUBLIC COUNTER AND LOBBY				
2 BULLETIN BOARDS				
A. ADEQUATE				
B. WELL ORGANIZED				
C. FREQUENTLY PURGED				
3 STORAGE ADEQUATE (OFFICE SUPPLIES)				
A. ITEMS LOGICALLY ARRANGED				
B. LOCATION INDEX				
C. EVIDENCE OF SURPLUSES				
D. SECURITY				
4 LOCKER ROOM ADEQUATE				
A. ITEMS ON TOP OF LOCKERS				
B. CLEAN - NEAT				
C. MIRROR				
D. VENTILATION				
E. SPACE PROVIDED FOR HELMETS, BRIEFCASES, ETC				
F. NAMES ON LOCKERS				
G. BENCH OR CHAIRS				
4 CHAPTER 3 - EXTERIOR APPEARANCE				

AREA INSPECTION REPORT

CATEGORY 5
Office Management

ZONE

DATE

AREA INSPECTED

INSPECTION NUMBER

INSPECTED BY

RANK

FOLLOW-UP REQUIRED

YES NO

TYPE OF INSPECTION (check an appropriate)

- FORMAL
 INFORMAL
 SELF INSPECTION
 PARTIAL
 COMPLETE
 FOLLOW-UP OF PREVIOUS INSPECTION

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ITEM	SATISFACTORY	ACTION REQUIRED	REMARKS	CORRECTED
CHAPTER 1 - CLERICAL TASKS				
1. REVIEW THE DISTRIBUTION OF CLERICAL TASKS				
A. WHAT SYSTEM IS USED FOR CLERICAL BACKUP				
B. ARE CLERICAL JOB DESCRIPTIONS WRITTEN				
C. ARE ACCOUNTABILITIES DEFINED				
D. ARE DEADLINES BEING MET				
2. IS THE OFFICE ORGANIZATION EFFICIENT				
A. IS AN OFFICE SUPERVISOR ASSIGNED				
B. DOES OFFICE SUPERVISOR ASSIGN WORK				
C. DOES OFFICE SUPERVISOR DO ROUTINE WORK				
D. DOES OFFICE SUPERVISOR REVIEW COMPLETED WORK				
E. IS THERE A SUFFICIENT OR EXCESSIVE WORKLOAD				
F. ARE UNIFORMED PERSONNEL DOING CLERICAL WORK				
G. ARE ITEMS DICTATED OR GENERALLY HAND-WRITTEN				
CHAPTER 2 - FILING SYSTEM - APM, CHAPTER 10				
1. SYSTEM COMPATIBLE WITH FILING POLICIES				
A. IS THE RETENTION OF FILE MATERIAL CORRECT				
B. ARE OBSOLETE FILES CLEARED				
C. DO THE FILES REFLECT NEATNESS AND CARE				
D. IS THE FILING KEPT REASONABLY CURRENT				
E. SECURITY PROVISION FOR CONFIDENTIAL FILES				
F. WHO HAS KEYS TO PERSONNEL FOLDERS, ACCIDENT REPORTS, ETC				
CHAPTER 3 - FISCAL PROCEDURES - APM, CHAPTER 2 & 3				
1. REVIEW DEPARTMENTAL AUDIT FORMS IN FILE				
A. WHEN WAS LAST AUDIT				
B. REVIEW RECENT PURCHASES				
C. DOES FUND BALANCE				
D. REVIEW CHANGE FUND PROCEDURES				
E. DOES IT BALANCE				
F. RECEIPTS COMPLETED AND FILED ACCORDING TO POLICY				
2. ARE WEEKLY TRANSMITTALS OF MONIES BEING FORWARDED				
A. DOES COMPLETE PROCESS COMPLY WITH APM				
3. ARE POSTAGE STAMP CONTROLS ADEQUATE-EXCESSIVE				
A. INSUFFICIENT OR EXCESSIVE AMOUNT ON HAND				
B. SECURITY PROVIDED				
4. MISCELLANEOUS SALES				
A. MVPC				
5. PUBLICATIONS				
C. BIDS				
D. TIRES - BATTERIES				
CHAPTER 4 - REQUISITIONS - APM, CHAPTER 4				
1. WHO PREPARES				

ITEM	SATISFACTORY	ACTION REQUIRED	REMARKS	CORRECTED
A. IS THERE A SYSTEM FOR REQUESTING ITEMS				
B. IS A "NEED" FILE USED				
C. REVIEW REQUISITIONS FOR QUARTERLY COMPLIANCE				
D. HOW MANY EMERGENCY REQUISITIONS IN PAST YEAR				
E. DETERMINE IF SUPPLIES				
1. ADEQUATE				
2. OVERSTOCKED				
3. READILY AVAILABLE				
4. SIGN CARDED SO THEY CAN BE READILY LOCATED				
5 5 CHAPTER 5 - OTHER EQUIPMENT AND SUPPLIES				
5 5 1 CAMERAS IN GOOD REPAIR AND MAINTAINED				
A. WHO IS RESPONSIBLE FOR CAMERA MAINTENANCE				
B. SECURITY AND PROTECTION PROVIDED FOR CAMERAS				
C. INVENTORY CAMERAS				
D. ARE PHOTOGRAPHIC SUPPLIES ADEQUATE-EXCESSIVE				
5 5 2 FLASHLIGHT BATTERIES, FLARES, AVAILABLE				
A. METHOD OF ISSUANCE AND ACCOUNTABILITY USED				
B. IS SECURITY PROVIDED				
C. QUANTITY EXCESSIVE				
D. INVENTORY AMMUNITION - RECORDS CURRENT				
5 5 3 INVENTORY SHOTGUNS - RECORDS CURRENT				
A. MAINTAINED				
B. INVENTORY HELMETS - RECORDS CURRENT				
5 6 CHAPTER 6 - OFFICE EQUIPMENT				
5 6 1 OFFICE MACHINES MAINTAINED IN GOOD ORDER				
A. COMPLAINTS OF PERFORMANCE OF TYPEWRITERS				
B. EXTENT OFFICE MACHINES USED REGULARLY				
C. SURPLUS				
D. ARE MACHINE SUPPLIES ADEQUATE				
5 6 2 OFFICE EQUIPMENT MAINTENANCE UP TO DATE				
A. IS SERVICE PROVIDED BY STATE CONTRACT				
B. ARE ARRANGEMENTS SATISFACTORY				
5 7 CHAPTER 7 - DAILY OFFICE LOG				
5 7 1 HOW IS COMMANDER KEPT INFORMED OF DAILY EVENTS				
A. OTHER SUPERVISORS				
B. OFFICE STAFF				
5 8 CHAPTER 8 - USE OF FORMS				
5 8 1 DO AREA FORMS DUPLICATE CHP FORMS				
A. AREA FORMS SENT TO HEADQUARTERS				
5 9 CHAPTER 9 - ATTITUDE OF NON-UNIFORMED PERSONNEL, OFFICE APPEARANCE				
5 9 1 PERSONAL APPEARANCE OF NON-UNIFORMED PERSONNEL				
5 9 2 ATTITUDE TOWARD THEIR JOBS				
5 9 3 DOES THE OFFICE HAVE BUSINESSLIKE ATMOSPHERE				
A. OFFICE FURNITURE EFFICIENTLY ARRANGED FOR THE ACCOMPLISHMENT OF WORK				
5 10 CHAPTER 10 - PUBLIC CONTACTS				
5 10 1 OFFICE OPEN DURING PERIODS ESTABLISHED BY DEPARTMENT				
A. ANY OTHER PERIOD				
5 10 2 WHO IS RESPONSIBLE FOR PUBLIC COUNTER				
A. ARE THE PERSONNEL COURTEOUS AND HELPFUL				
5 10 3 WHO IS RESPONSIBLE FOR ANSWERING THE TELEPHONE				
A. IS BACKUP SYSTEM ESTABLISHED				
B. PROMPTLY ANSWERED				
C. BUSINESSLIKE GREETING				
D. ARE TOLL CALLS RECORDED				
E. LAST TELEPHONE TRAINING SESSION				

ITEM	SATISFACTORY	ACTION REQUIRED	REMARKS	CORRECTED
F. IS THE NUMBER OF TELEPHONES ADEQUATE				
G. ARE THEY EFFECTIVELY PLACED				
H. ARE THERE INDICATIONS OF TOO MANY TELEPHONES				
5 10 4 CAN SUPERVISORS OPERATE TELEPRINTER				
A. USE AT OTHER THAN BUSINESS HOURS				
B. ROUTINE MESSAGES SENT AT "OFF PEAK" HOURS				
C. AMIS USED FOR ROUTINE, REGISTRATION INFORMATION				
D. CORRECT MESSAGE FORMAT				
E. FILING EFFICIENT				
F. MESSAGE RECEIVED DISTRIBUTION SYSTEM				
G. AFTER HOUR MESSAGE REVIEW POLICY				
5 11 CHAPTER 11 - EXAMINATIONS				
5 11 1 CLERKS CONDUCT EXAMINATIONS				
A. SCHOOL BUS DRIVERS				
B. LIGHT - BRAKE - MVPC				
C. SPECIFIC SCHEDULED DAY				
5 12 CHAPTER 12 - TRIAL INFORMATION PROCEDURES				
5 12 1 HOW ARE MEMBERS ADVISED OF TRIALS				
A. CANCELLATIONS				
B. CHP FORM 90				
5 13 CHAPTER 13 - DEPARTMENTAL MANUALS - HPM 1.1				
5 13 1 ARE LIBRARY PUBLICATIONS CURRENT				
A. AVAILABLE				
1. BUSINESS OFFICE				
2. SQUAD ROOM				
D. ORGANIZED AND WELL IDENTIFIED				

INSPECTION SUMMARY

Handwritten notes and observations for the inspection summary, including a large blank area for text.

AREA INSPECTION REPORT
CATEGORY 6
 Maintenance and Use of Vehicles

ZONE	DATE
AREA INSPECTED	INSPECTION NUMBER

INSPECTED BY	RANK	FOLLOW-UP REQUIRED <input type="checkbox"/> YES <input type="checkbox"/> NO
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TYPE OF INSPECTION (check as appropriate)

<input type="checkbox"/> FORMAL	<input type="checkbox"/> PARTIAL
<input type="checkbox"/> INFORMAL	<input type="checkbox"/> COMPLETE
<input type="checkbox"/> SELF INSPECTION	<input type="checkbox"/> FOLLOW-UP OF PREVIOUS INSPECTION

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ITEM	SATISFACTORY	ACTION REQUIRED	REMARKS	CORRECTED
CHAPTER 1 - LOCAL PROCEDURES				
1.1 ARE LOCAL SERVICING ARRANGEMENTS SATISFACTORY				
A. AUTHORIZED DEALERS AVAILABLE				
B. DEALER DOES ALL SERVICING AND REPAIR				
C. USE OF "SPECIALIZED" GARAGES				
1.2 WHAT IS CURRENT DEALER LABDR RATE				
A. LABDR RATE OF ANY "SPECIALIZED" GARAGE USED				
1.3 WHD REVIEWS INVDICES				
A. HOW IS REVIEW INDICATED ON INVDICES				
1.4 VEHICLES INSPECTED AT LEAST MONTHLY				
A. BY WHDM				
1.5 ARE VEHICLES TAKEN HOME				
A. BY WHOM				
B. WHY				
C. PARKED OFF STREET				
1.6 EQUAL DISTRIBUTION OF MILEAGE (MILEAGE REPORT)				
A. SYSTEM USED				
B. VEHICLE FURTHEST BEHIND IN MILEAGE				
1.7 DISPOSAL OF USED TIRES ACCORDING TO POLICY				
A. HOW ARE BIDS SOLICITED				
B. AVERAGE SELLING PRICE PER TIRE				
C. SECURITY ADEQUATE - NEW AND USED TIRES				
CHAPTER 2 - RECORDS				
1. REVIEW SELECTED MAINTENANCE CHARTS				
2. SPOT CHECK JOB TAGS FOR COMPLIANCE				
A. ANY OPEN				
B. LEGIBLE				
C. NUMERICAL SEQUENCE				
D. COMPARE TO INVDICES - CROSS REFERENCED				
E. WHAT REPAIR PATTERNS ARE EVIDENT				
3. ARE WARRANTY OBLIGATIONS UNDERSTOOD				
A. ANY EVIDENCE OF CHARGES FOR WARRANTY WORK				
B. SHOULD UNJUSTIFIED CHARGES BE COLLECTED				
4. ANY EVIDENCE OF EXCESSIVE CHARGES				
A. UNNECESSARY SERVICES BEING PERFORMED				
B. GARAGES DOING ASM'S WORK				
5. CHP FORM 33 BOOKS IN ORDER				
6. MOTOR TRANSPORT MANUAL UP TO DATE				
A. MOTOR TRANSPORT BULLETINS CURRENT AND AVAILABLE				
7. SYSTEM TO RECORD COMPLIANCE				
8. COPY SENT TO REPAIR GARAGE				

ITEM	SATISFACTORY	ACTION REQUIRED	REMARKS	CORRECTED
6.3 CHAPTER 3 - VEHICLE USE				
6.3.1 SUFFICIENT NUMBER AVAILABLE FOR SHIFTS				
A. EVIDENCE OF SURPLUS				
B. EVIDENCE OF SHORTAGES				
6.3.2 PROVISION FOR WEEKEND MAINTENANCE				
6.3.3 NUMBER OF CLASS A VEHICLES ASSIGNED				
A. CLASS A VEHICLE ALLOCATION FORM PREPARED				
6.4 CHAPTER 4 - VEHICLE APPEARANCE - EQUIPMENT				
6.4.1 GENERAL APPEARANCE				
6.4.2 UNAUTHORIZED INSTALLATIONS				
6.4.3 AUTOMOTIVE SERVICEMAN'S PROFICIENCY				
6.5 CHAPTER 5 - MOTORCYCLES				
6.5.1 PREPARATION				
6.5.2 RIDER'S PROFICIENCY				
A. CERTIFIED TRAINING OFFICER				
B. CATEGORY I RIDER RETURN FROM ABSENCE				
C. RETRAINING AND TESTING OF RETURNED FORMER RIDERS				
6.5.3 ATTITUDE AND KNOWLEDGE OF EQUIPMENT				
A. CARE OF EQUIPMENT				
B. SECURE WHEN UNATTENDED				
C. USE OF OIL DRIP PAN AT OFFICE				
D. OFFICE PARKING SPACE DESIGNATED, USED				
6.5.4 APPROPRIATELY ASSIGNED (CRITERIA FOR USE MET)				
A. DEPLOYMENT POLICY				
B. PREDOMINANT COLLISION VIOLATIONS				
C. NOT USED BY SPECIAL DUTY OFFICERS				
6.5.5 SUPERVISION AND TRAINING				
A. SUPERVISION RESPONSIBILITIES DELEGATED				
B. AREA MOTORCYCLE PROGRAM				
C. PROGRAM OBJECTIVES				
6.5.6 ENFORCEMENT EFFORTS				
A. QUANTITY				
B. QUALITY				
C. KIND				
D. REFLECT APPROPRIATE ASSIGNMENT				
6.5.7 SERVICING, MAINTENANCE AND REPAIRS				
A. FREQUENCY OF ROUTINE SERVICE COMPLIES WITH M/CYCLE MANUAL AND/OR BULLETINS				
B. REPAIRS VERIFIED				
C. EXCESSIVE MAINTENANCE				
D. ODOMETER READINGS				
E. SOP FOR MOTOR REPAIRS				
F. DOWNTIME REASONABLE				
G. AUTHORIZING REPAIRS				
H. EVIDENCE OF RIDER ABUSE				
I. STANDBY UNIT JUSTIFIED				
J. RESPONSIBLE FOR SERVICING AND MAINTAINING STANDBY				
6.5.8 RECORDS				
A. MILEAGE RECORDS ACCURATE				
B. SUPERVISOR'S INSPECTIONS RECORDED				
6.5.9 EQUIPMENT, ACCESSORIES				
A. TIRES INVENTORY RECORD				
B. BATTERY CHARGER AVAILABLE				
C. TIRE SECURITY				
D. OIL CONVENIENTLY AVAILABLE				
E. GUNK CONVENIENTLY AVAILABLE				

ITEM	SATISFACTORY	ACTION REQUIRED	REMARKS	CORRECTED
F. AUTHORIZED ACCESSORIES NECESSARY				
G. ARE MOTORCYCLE SUPPLIES AMPLE				
H. FIRST AID SUPPLIES, FUSEES, REGISTRATION CARD, FORM 33, GAS CREDIT CARD, RADIO SERV. RECORD BOOK				
6.5.10 RADIO REPAIRS				
A. HOW IS REPAIR SERVICE OBTAINED				
B. ANY REPAIRS MADE BY RIDERS, ASM				
C. ARRANGEMENTS OF FINITE AND ADEQUATE				
D. NEED FOR SUPERVISORY AUTHORIZATION				
E. SERVICE TIMELY, CONVENIENT				
F. REPAIRMEN PROFICIENT				
G. WEEKEND AVAILABILITY				
6.5.11 SAFETY PROGRAM				
A. DEFENSIVE RIDING PROGRAM				
B. ALL RIDERS MEET RIDING STANDARDS				
C. RIDERS' SUGGESTIONS SOLICITED				
D. ACCIDENT RATE IN RELATION TO ZONE AND STATE				
E. ACCIDENT TREND IN PROPER DIRECTION				
F. HELMETS MAINTAINED AND REPLACED AS NECESSARY				
G. UNSAFE PRACTICES RECORDED AND CORRECTED				
6.5.12 MOTOR TRANSPORT BULLETINS				
A. ARE M.T.B. DISCUSSED WITH RIDERS				
B. RIDERS HELD ACCOUNTABLE FOR FOLLOWING DIRECTIONS				
C. M.T.B. FILE CURRENT, CONVENIENT, USED. MOTOR CYCLE BULLETINS FILED SEPARATELY				
D. SYSTEM FOR VERIFYING CONFORMANCE				

INSPECTION SUMMARY

AREA INSPECTION REPORT
CATEGORY 7
 Supervision and Training

ZONE	DATE
AREA INSPECTED	INSPECTION NUMBER
INSPECTED BY	RANK
FOLLOW-UP REQUIRED <input type="checkbox"/> YES <input type="checkbox"/> NO	

TYPE OF INSPECTION (check as appropriate)

<input type="checkbox"/> FORMAL	<input type="checkbox"/> PARTIAL
<input type="checkbox"/> INFORMAL	<input type="checkbox"/> COMPLETE
<input type="checkbox"/> SELF INSPECTION	<input type="checkbox"/> FOLLOW-UP OF PREVIOUS INSPECTION

INSTRUCTIONS: ATTACH CONSTRUCTIVE, CRITICAL OR COMMENDABLE COMMENTS, APPROPRIATELY REFERENCED, TO ANY ITEM CHECKED IN THE "ACTION REQUIRED" OR "REMARKS" COLUMN. "REMARKS" COLUMN MAY ALSO BE USED FOR SHORT RESPONSES. "INSPECTION SUMMARY" IS THE INSPECTING OFFICER'S OVER-ALL IMPRESSION OF THE EFFECTIVENESS WITH WHICH THE COMMAND HAS FULFILLED ITS RESPONSIBILITIES IN THIS CATEGORY. VERIFY CORRECTIONS BY INITIALING "CORRECTED" COLUMN.

ITEM	SATISFACTORY	ACTION REQUIRED	REMARKS	CORRECTED
CHAPTER 1 - LIEUTENANT DEVELOPMENT				
1. HOW ARE LIEUTENANT TRAINING NEEDS IDENTIFIED				
A. IS AREA COMMANDER INCREASING LIEUTENANT PROFICIENCY				
B. ARE LIEUTENANTS TRAINED TO ASSUME F.O.O. DUTIES				
C. EXECUTIVE OFFICER DUTIES				
D. ALTERNATE COMMANDER DUTIES				
CHAPTER 2 - USE OF LIEUTENANT OR LIEUTENANTS				
1. DO LIEUTENANTS PERFORM WITHIN THEIR JOB DESCRIPTIONS				
A. QUESTION SERGEANTS CONCERNING UNITY OF COMMAND				
2. IS LIEUTENANTS TRAINING ROLE DEFINED				
A. TRAINING PROGRAMS DOCUMENTED				
B. LAST TRAINING CONDUCTED BY LIEUTENANT				
C. TRAINING FOR NEWLY PROMOTED SERGEANTS				
CHAPTER 3 - SERGEANT DEVELOPMENT				
1. TIME ON FIELD SUPERVISION (PERCENT OF TOTAL TIME)				
A. ARE SERGEANTS ACTIVITIES RECORDED ACCURATELY				
B. ENFORCEMENT BEING PERFORMED BY SERGEANTS				
C. CONTACTS WITH OFFICERS ON BEATS EMPHASIZED				
1. DAILY				
2. OCCASIONALLY, RARELY				
D. SERGEANT RIDES WITH OFFICERS REGULARLY				
E. PERFORMS INSPECTION OF OFFICERS				
1. METHOD OF INSPECTION				
2. OBSERVE COURT TESTIMONY				
3. REVIEWS SELECTED REPORTS				
A. TYPICALLY, WHAT REPORTS				
B. IN-CUSTODY CASES				
4. SERGEANTS RESPOND TO SPECIFIC ACCIDENTS OR ARRESTS				
A. B.O.P.				
B. CALLED OUT				
5. BRIEFINGS HELD DAILY				
A. WHO PREPARES MATERIAL				
B. HOW PROVIDED TO ABSENT MEMBERS				
C. TIME ALLOWED				
D. EFFECTIVENESS OF BRIEFING MATERIAL				
6. SERGEANTS ASSIGNED PUBLIC INFORMATION PROGRAM				
A. HOW OFTEN				
B. WHAT TYPE				
7. DO SERGEANTS PERFORM ANY OFFICE DUTIES				
A. TYPICAL TYPES OF OFFICE DUTIES				
B. ESSENTIAL TO A SERGEANT'S FIELD WORK				
C. WHAT PERCENT OF SERGEANTS TOTAL TIME				

ITEM	SATISFACTORY	ACTION REQUIRED	REMARKS	CORRECT
D. IS THERE AN "ADMINISTRATIVE SERGEANT" ASSIGNED				
1. IS POSITION APPROVED				
2. WHAT ARE HIS DUTIES				
7.4 CHAPTER 4 - OFFICER DEVELOPMENT				
7.4.1 HOW ARE OFFICER TRAINING NEEDS IDENTIFIED				
A. WHAT REGULAR TRAINING IS BEING PROVIDED				
B. WHAT SPECIALIZED TRAINING IS BEING PROVIDED				
C. HOW IS TRAINING EFFECTIVENESS MEASURED				
D. IS THERE A DESIGNATED TRAINING OFFICER				
7.4.2 GENERAL PHOTOGRAPHY PROFICIENCY				
A. ARE ALL SERGEANTS PROFICIENT				
7.4.3 SPECIAL AREA TRAINING PROGRAMS CURRENTLY UNDER WAY				
A. COULD THEY BE USED BY OTHER AREAS				
B. ARE DEPARTMENTAL TRAINING MANUALS USED				
7.5 CHAPTER 5 - REVOLVER-SHOOTING TRAINING				
7.5.1 RANGE FACILITIES ADEQUATE				
A. FIRING SUPERVISED				
B. RANGE OFFICER TRAINED				
C. ADDITIONAL TRAINING PROVIDED DEFICIENT SHOOTERS				
D. IS TRAINING EFFECTIVE				
E. SCORES REFLECT PROFICIENCY				
F. SCORES FOR COMMANDER, LIEUTENANTS, SERGEANTS, SPECIAL DUTY				
7.5.2 HOW IS SHOTGUN TRAINING ACCOMPLISHED				
7.6 CHAPTER 6 - RECORDS				
7.6.1 IS THERE A MASTER TRAINING CHART				
A. UP TO DATE				
B. BOTH DEPARTMENTAL AND LOCAL TRAINING LISTED				
C. WHO IS RESPONSIBLE FOR ENTRIES				
7.6.2 ARE SUPERVISORS GIVEN FUNCTIONAL ASSIGNMENTS				
A. IS THIS INFORMATION AVAILABLE TO ALL PERSONNEL				
B. POSTED				
C. S.O.P.				
7.6.3 CONTROLS TO INSURE REQUIRED TRAINING COMPLETED				
A. EFFECTIVE				
B. REPORTING REQUIREMENTS MET				
7.7 CHAPTER 7 - NONUNIFORMED EMPLOYEE DEVELOPMENT				
7.7.1 HOW ARE TRAINING NEEDS IDENTIFIED AND PROVIDED				
A. CLERICAL STAFF AND OFFICE SUPERVISOR				
B. AUTOMOTIVE SERVICEMAN				
C. RADIO DISPATCHERS				
D. CUSTODIAN				
7.8 CHAPTER 8 - AREA AND STAFF MEETINGS				
7.8.1 AREA AND STAFF MEETINGS HELD AT REGULAR INTERVALS				
A. AGENDA DEVELOPED				
B. SERGEANTS ONLY MEETINGS ENCOURAGED				
C. MINUTES ACCURATELY REFLECT ACTIVITY				
7.9 CHAPTER 9 - EVALUATION PROCESS				
7.9.1 COMPLIES WITH ESTABLISHED POLICY-PROCEDURE				
A. UNIFORMED PERSONNEL				
B. NONUNIFORMED PERSONNEL				
7.9.2 EVALUATIONS EFFECTIVE				
A. OBJECTIVE - MEANINGFUL				
B. APPROPRIATE GOALS ESTABLISHED				
C. TOTAL JOB CONSIDERED				
D. PRIOR GOALS COMMENTED UPON				

ITEM	SATISFACTORY	ACTION REQUIRED	REMARKS	CORRECTED
E. BRIEF AND TO THE POINT				
F. ANY LOCAL METHODS BEING USED				
I. ARE THEY JUSTIFIED				
10 CHAPTER 10 - INCIDENT REPORTS				
10 1 IS THERE A PROCEDURE TO CONTROL ISSUANCE				
A. SUPERVISORY APPROVAL REVIEW				
B. COMMANDER APPROVAL REVIEW				
C. DO ALL SUPERVISORS ISSUE				
0 2 HOW MANY ISSUED IN LAST TWELVE MONTHS				
A. COMMENDABLE				
B. CENSURABLE				
0 3 ARE "CORRECTIVE MEMOS" USED				
A. FILED IN FIELD FOLDERS				
B. STANDARDS - INCIDENT REPORT VS. CORRECTIVE MEMO				
1 CHAPTER 11 - ATTITUDES - DISCIPLINE				
1 1 DOES DISCUSSION INDICATE POSITIVE OR NEGATIVE				
A. IF NEGATIVE, IDENTIFY CAUSE				
1.2 ARE PROBLEM INDIVIDUALS IDENTIFIABLE BY SERGEANTS				
A. CORRECTIVE ACTIONS BEING TAKEN				
B. DOCUMENTED				
1 3 SUPERVISORS TRAINED IN GRIEVANCE PROCEDURE				
A. ANY GRIEVANCES IN PAST TWELVE MONTHS				
2 CHAPTER 12 - SCHEDULING				
2 1 WHO PREPARES TRAFFIC OFFICER DEPLOYMENT SCHEDULE				
A. MONTHLY OR QUARTERLY BASIS				
B. METHOD OF ASSIGNMENT TO SHIFTS				
C. ROTATION SYSTEM				
D. OVERLAPS				
E. SOURCES OF INFORMATION FOR SHIFTS				
F. REQUEST SYSTEM - CONTROLS				
2.2 HOW OFTEN ARE SCHEDULING NEEDS EVALUATED				
A. WHAT CONTRIBUTION DO SERGEANTS MAKE				
2.3 DOES SCHEDULE MEET THESE TESTS				
A. NEEDS OF AREA				
B. NEED OF PERSONNEL				
C. DOES IT REFLECT GOOD MANAGEMENT				

INSPECTION SUMMARY

AREA INSPECTION REPORT
CATEGORY 8
 Public Reaction

ZONE	DATE
AREA INSPECTED	INSPECTION NUMBER
INSPECTED BY	RANK
FOLLOW-UP REQUIRED <input type="checkbox"/> YES <input type="checkbox"/> NO	

TYPE OF INSPECTION (check as appropriate)

- | | |
|--|---|
| <input type="checkbox"/> FORMAL | <input type="checkbox"/> PARTIAL |
| <input type="checkbox"/> INFORMAL | <input type="checkbox"/> COMPLETE |
| <input type="checkbox"/> SELF INSPECTION | <input type="checkbox"/> FOLLOW-UP OF PREVIOUS INSPECTION |

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ITEM	SATISFACTORY	ACTION REQUIRED	REMARKS	CORRECTED
1 CHAPTER 1 - PUBLIC OPINION				
1.1 ATTEMPT TO ASCERTAIN LOCAL OPINION OF THE DEPARTMENT				
A. GOVERNMENT SECTOR				
B. PRIVATE SECTOR				
2 CHAPTER 2 - REACTION TO ROADWAY CONTACTS				
2.1 REVIEW COMPLAINTS. ARE THOROUGH INQUIRIES CONDUCTED				
A. HOW ARE INVESTIGATIONS ASSIGNED, CONTROLLED, TERMINATED				
B. DOES AREA HAVE A WRITTEN SYSTEM OF INVESTIGATION				
C. DOES THE PROCEDURE REQUIRE SUBSEQUENT CONTACT				
D. HOW ARE COMPLAINTS AND INVESTIGATIONS RECORDED				
3 CHAPTER 3 - NEWS MEDIA				
1 DOES THE AREA HAVE A WRITTEN PROCEDURE FOR FOSTERING HARMONY WITH NEWS MEDIA				
A. WHO SERVES AS THE INFORMATION OFFICER				
B. ARE MEDIA REPRESENTATIVES RECEPTIVE TO THE AREA'S PROGRAM				
C. IS THERE MUTUAL TRUST				
D. WHAT ARE THE EFFECTS OF THE ARRANGEMENT				
E. HOW CAN IT BE IMPROVED				
F. IS COVERAGE OF CURRENT PROBLEMS ADEQUATE				
G. DO FAVORABLE INCIDENTS APPEAR IN THE PRESS				
H. RELEASES COORDINATED WITH ZONE				
4 CHAPTER 4 - RELATIONSHIP WITH ALLIED AGENCIES				
4.1 HOW OFTEN DOES COMMANDER CONFER WITH ADMINISTRATORS				
A. MEMBERSHIP IN LOCAL ASSOCIATION				
B. GUEST AT DEPARTMENTAL MEETING				
C. EXCHANGE OF TRAINING PRESENTATIONS				
5 CHAPTER 5 - SCHOOLS				
5.1 IS AN ACTIVE SCHOOL SAFETY AND I & E PROGRAM CONDUCTED				
A. CONFORMANCE WITH POLICY				
B. HOW IS IT INITIATED				
C. WHO ASSUMES ACCOUNTABILITY FOR CONTINUANCE				
6 CHAPTER 6 - THE OFFICER AND PUBLIC CONTACTS				
6.1 ARE OFFICE PUBLIC CONTACTS EVALUATED PERIODICALLY				
A. REVIEW RECENT AUDIT. PATTERN EVIDENT				
B. WHAT PROGRAMS ARE FORMULATED AND PRESENTED TO REMEDY DEFICIENCIES				
7 CHAPTER 7 - AREA SUPERVISORS				
7.1 IS THE COMMANDER REASONABLY AVAILABLE TO THE PUBLIC				
A. KNOWN LOCALLY				
B. WHAT CONTACT WITH SERVICE CLUBS. MEMBERSHIP				
C. PUBLIC SPEAKING				
D. OTHER SUPERVISORS GIVE PUBLIC PRESENTATIONS				
E. DO SUPERVISORS PREPARE NEWS RELEASES				
F. ARE NEWS CONFERENCES HELD				

ITEM	SATISFACTORY	ACTION REQUIRED	REMARKS	CORRECTED
G. NEWS RELEASES COORDINATED WITH ZONE, HEADQUARTERS				
8.8 CHAPTER 8 - PUBLIC INFORMATION PROGRAM				
8.8.1 DOES THE AREA'S PUBLIC INFORMATION REACH A REPRESENTATIVE PORTION OF THE TOTAL COMMUNITY				
A. BILINGUAL IF NECESSARY				
B. UTILIZE PREPARED NEWS RELEASES				
C. SPECIAL INTEREST GROUPS				
D. SPECIAL PROGRAMS				
E. REGULAR RADIO OR TELEVISION PROGRAMS				

INSPECTION SUMMARY

This section contains a large number of horizontal lines for recording the inspection summary. The lines are currently blank.

AREA INSPECTION REPORT
CATEGORY 9
 Planning

ZONE	DATE
AREA INSPECTED	INSPECTION NUMBER

INSPECTED BY	RANK	FOLLOW-UP REQUIRED <input type="checkbox"/> YES <input type="checkbox"/> NO
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TYPE OF INSPECTION (check an appropriate)

<input type="checkbox"/> FORMAL	<input type="checkbox"/> PARTIAL
<input type="checkbox"/> INFORMAL	<input type="checkbox"/> COMPLETE
<input type="checkbox"/> SELF INSPECTION	<input type="checkbox"/> FOLLOW-UP OF PREVIOUS INSPECTION

INSTRUCTIONS: ATTACH CONSTRUCTIVE, CRITICAL OR COMMENDABLE COMMENTS, APPROPRIATELY REFERENCED, TO ANY ITEM CHECKED IN THE "ACTION REQUIRED" OR "REMARKS" COLUMN. "REMARKS" COLUMN MAY ALSO BE USED FOR SHORT RESPONSES. "INSPECTION SUMMARY" IS THE INSPECTING OFFICER'S OVER-ALL IMPRESSION OF THE EFFECTIVENESS WITH WHICH THE COMMAND HAS FULFILLED ITS RESPONSIBILITIES IN THIS CATEGORY. VERIFY CORRECTIONS BY INITIALING "CORRECTED" COLUMN.

ITEM	SATISFACTORY	ACTION REQUIRED	REMARKS	CORRECTED
1 CHAPTER 1 - GENERAL PLANNING				
1.1 DOES THE AREA FORMULATE GENERAL PLANS				
A. COMMENSURATE WITH GOALS				
B. ENFORCEMENT LEVELS				
C. ACCIDENT LEVELS				
D. NEW HIGHWAY CONSTRUCTION				
E. PATTERNS OF COMMERCE				
F. LONG-TERM PERSONNEL AND FACILITY NEEDS				
2 CHAPTER 2 - EMERGENCY PLANS				
2.1 WHO IS ACCOUNTABLE FOR EMERGENCY PLANNING				
A. EMERGENCY PLANS LAST REVISED				
B. MEMBERS KNOW ROLES				
C. PLANS ADEQUATELY DISTRIBUTED				
D. MEMBERS KNOW REPORTING LOCATIONS				
E. RESPONSE CARD INFORMATION CURRENT				
F. EMERGENCY PLANNING MEETING ATTENDANCE				
3 CHAPTER 3 - BUDGET PLANNING				
3.1 RUNNING BUDGET NEEDS FILE				
A. STAFF BUDGET CONFERENCE				
B. NEEDS SOLICITED FROM ALL MEMBERS				
4 CHAPTER 4 - SPECIAL ENFORCEMENT PLANS				
4.1 MAJOR ENFORCEMENT PROGRAMS REQUIRE PLANS				
A. IN WRITING				
B. USEFUL TO OTHER COMMANDS				
5 CHAPTER 5 - SPECIAL EVENTS				
5.1 WELL THOUGHT OUT PLANS				
A. PROVIDE FOR NEEDED COORDINATION				
B. WRITTEN, DISCUSSED, DISTRIBUTED				
C. PROVIDE AFTER-ACTION SUMMARY				
D. SPECIAL DETAIL REPORTS				
CHAPTER 6 - OTHER AGENCY COORDINATION				
6.1 MUTUAL ASSISTANCE PLANS DEVELOPED				
A. ADMINISTRATIVELY SOUND				
B. DOVETAIL WITH OTHER PLANS				
C. ALL INVOLVED CONVERSANT WITH PROVISIONS				
D. WITHIN DEPARTMENT POLICY				
E. OTHERS UNDERSTAND OUR ASSISTANCE POLICY				
F. COUNTY COORDINATING AGENCY INVOLVED				
G. CHP REPRESENTED AT MULTI-AGENCY MEETINGS				
CHAPTER 7 - OTHER PLANS				
7.1 AREA HAVE OTHER WRITTEN PLANS				
A. PURPOSE SERVED				

ITEM	SATISFACTORY	ACTION REQUIRED	REMARKS	CORRECTED
B. USEFUL TO OTHERS				
C. DISSEMINATED TO OTHER CHP COMMANDS				
9 8 CHAPTER 8 - TRAINING PLANS				
9 8 1 MASTER TRAINING PLAN DEVELOPED				
A. OBJECTIVES AND GOALS				
B. ROUTINE DAY-TO-DAY				
C. SPECIAL PROBLEMS				
D. EMPHASIS ON OCCUPATION SAFETY				

INSPECTION SUMMARY

Lined area for writing the inspection summary.

AREA INSPECTION REPORT

CATEGORY 10
Uniform & Equipment Inspection

ZONE	DATE
AREA INSPECTED	INSPECTION NUMBER

INSPECTED BY	RANK	FOLLOW-UP REQUIRED <input type="checkbox"/> YES <input type="checkbox"/> NO
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TYPE OF INSPECTION (check as appropriate)

- | | |
|--|---|
| <input type="checkbox"/> FORMAL | <input type="checkbox"/> PARTIAL |
| <input type="checkbox"/> INFORMAL | <input type="checkbox"/> COMPLETE |
| <input type="checkbox"/> SELF INSPECTION | <input type="checkbox"/> FOLLOW-UP OF PREVIOUS INSPECTION |

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ITEM	SATISFACTORY	ACTION REQUIRED	REMARKS	CORRECTED
1 CHAPTER 1 - PERSONNEL INSPECTION				
1.1 CONDUCT A FORMAL INSPECTION (ANNEX A)				
A. FORMATION DISCIPLINE				
B. APPEARANCE OF UNIFORMS				
C. APPEARANCE OF UNIFORM EQUIPMENT				
D. PERSONAL GROOMING				
1.2 EVIDENCE OF OVERWEIGHT MEMBERS				
A. COMMENTS ON EVALUATIONS - GOALS SET				
1.3 WEARING OF SUMMER UNIFORMS - S.O.P.				
A. ANY OTHER OPTIONAL GARMENTS PERMITTED				
1.4 CURRENCY OF FIRST AID TRAINING				
2 CHAPTER 2 - REVOLVER-HOLSTER INSPECTION				
2.1 REVIEW SAMPLING OF CHP FORM 311, G.O. 73.2				
A. ANY DEFECTS NOTED				
B. FOLLOW-UP PROVIDED				
C. WHO ACCOUNTABLE - FUNCTIONAL ASSIGNMENT				

INSPECTION SUMMARY

AREA INSPECTION REPORT

CATEGORY 11
Forms and Reports

ZONE

DATE

AREA INSPECTED

INSPECTION NUMBER

INSPECTED BY

RANK

FOLLOW-UP REQUIRED

YES NO

TYPE OF INSPECTION (check as appropriate)

- FORMAL
- INFORMAL
- SELF INSPECTION
- PARTIAL
- COMPLETE
- FOLLOW-UP OF PREVIOUS INSPECTION

INSTRUCTIONS: ATTACH CONSTRUCTIVE, CRITICAL OR COMMENDABLE COMMENTS, APPROPRIATELY REFERENCED, TO ANY ITEM CHECKED IN THE "ACTION REQUIRED" OR "REMARKS" COLUMN. "REMARKS" COLUMN MAY ALSO BE USED FOR SHORT RESPONSES. "INSPECTION SUMMARY" IS THE INSPECTING OFFICER'S OVER-ALL IMPRESSION OF THE EFFECTIVENESS WITH WHICH THE COMMAND HAS FULFILLED ITS RESPONSIBILITIES IN THIS CATEGORY. VERIFY CORRECTIONS BY INITIALING "CORRECTED" COLUMN.

ITEM		SATISFACTORY	ACTION REQUIRED	REMARKS	CORRECTED
1	CHAPTER 1 - REQUIRED REPORTS				
1.1	WHAT REPORTS DO SUPERVISORS REVIEW				
	A. EACH COMPLETELY				
	B. SPOT CHECKED				
	C. VERIFY BY INITIALS				
1.2	FORM 555 COMPLIES WITH REQUIRED STANDARDS				
	A. COMPARES TO 101 ENTRIES				
	B. AVERAGE TIME PER INVESTIGATION/REPORT				
	C. PERCENT OF ARRESTS AFTER ACCIDENT INVESTIGATION				
1.3	ENFORCEMENT FORMS CHECKED FOR LEGIBILITY/COMPLIANCE				
	A. CHP FORM 215				
	B. CHP FORM 281				
	C. CHP FORM 267				
2	CHAPTER 2 - TIME REPORTING				
2.1	ACCURACY OF SPECIAL DUTY OFFICER TIME REPORTING				
2.2	OVERTIME USERS IDENTIFIED				
	A. INDIVIDUAL PATTERNS				
	B. SUPERVISORY REVIEW				
	C. CAUSATIVE FACTORS				
2.3	CHP FORM 71 - DEADLINE MET				
	A. ERROR LEVEL ACCEPTABLE				
	B. SCHEDULE ADJUSTMENT CONTROLS				
2.4	PAST SIX MONTHS ACCUMULATION-USAGE OF 4-C TIME				
2.5	REVIEW PROCESSING OF CHP FORM 431				
2.6	PROCESS OF POSTING 71 FROM 101 EFFICIENT				
3	CHAPTER 3 - LOCAL REPORTS-FORMS				
3.1	LIST LOCAL FORMS USED BY AREA				
	A. DO THEY ALL SERVE A USEFUL PURPOSE				
	B. USEFUL TO OTHER AREAS OR DEPARTMENT				
	C. HOW ARE THEY DUPLICATED				
	D. SENT OUTSIDE THE AREA				
3.2	HOW ARE MONTHLY PROVISIONAL REPORTS COMPILED				
3.3	CONTROLS TO ENSURE MEETING DEADLINES				
	A. MONTHLY				
	B. SEMI-ANNUAL				
	C. ANNUAL				

INSPECTION SUMMARY



AREA INSPECTION REPORT
CATEGORY 12
Occupational Safety

ZONE

DATE

AREA INSPECTED

INSPECTION NUMBER

INSPECTED BY

RANK

FOLLOW-UP REQUIRED

YES NO

TYPE OF INSPECTION (check as appropriate)

INSTRUCTIONS: ATTACH CONSTRUCTIVE, CRITICAL OR COMMENDABLE COMMENTS, APPROPRIATELY REFERENCED, TO ANY ITEM CHECKED IN THE "ACTION REQUIRED" OR "REMARKS" COLUMN. "REMARKS" COLUMN MAY ALSO BE USED FOR SHORT RESPONSES. "INSPECTION SUMMARY" IS THE INSPECTING OFFICER'S OVER-ALL IMPRESSION OF THE EFFECTIVENESS WITH WHICH THE COMMAND HAS FULFILLED ITS RESPONSIBILITIES IN THIS CATEGORY. VERIFY CORRECTIONS BY INITIALING "CORRECTED" COLUMN.

- FORMAL PARTIAL
 INFORMAL COMPLETE
 SELF INSPECTION FOLLOW-UP OF PREVIOUS INSPECTION

ITEM

SATISFACTORY

ACTION REQUIRED

REMARKS

CORRECTED

2.1 CHAPTER 1 - ACCIDENT AND INJURY TRENDS

2.1.1 ARE THERE ANY PATTERNS EVIDENT

A. FREQUENCY RATES VS. AREA GOALS

B. ZONE GOALS

2.1.2 DOES PROGRAM ACTION MEET THE PROBLEMS

A. ANALYSIS OF INCIDENTS BY A.O.S.C.

B. PREVENTATIVE MEASURES DEVELOPED

C. CARRIED THROUGH BY AREA MANAGEMENT

2.1.3 HOW OFTEN ARE A.O.S.C. MEETINGS HELD

A. DOES THE COMMANDER ATTEND

B. IS A FULL COMMITTEE ALWAYS SEATED

C. HOW MUCH TIME IS ALLOWED FOR MEETING

D. DOES IT FOLLOW A PREPARED AGENDA

E. HAVE ZOSC AND OOSB MINUTES BEEN HIGHLIGHTED

F. ARE COMMITTEE MEMBERS GIVEN SPECIFIC ASSIGNMENTS

G. MINUTES ACCURATELY REFLECT PROCEEDINGS

H. INNOVATIVE OR CREATIVE IDEAS DEVELOPED

I. OTHER MEMBERS OF AREA INVITED TO ATTEND

2.1.4 ACCURACY OF DATA ON CHP FORM 113

A. ANY NEW PROGRAMS NOTED ON FORM

2 CHAPTER 2 - AREA SAFETY PROGRAM

2.1 ATTEND A.O.S.C. MEETING

A. IS THERE AN ONGOING, EFFECTIVE PROGRAM

B. IS A SUITABLE "CLIMATE" APPARENT

C. IS DEFENSIVE DRIVER TRAINING EFFECTIVE

1. ONLY MEETS DEPARTMENT MINIMUM

2. RESPONSIBILITY FOR TRAINING ASSIGNED

3. CURRENT ENTRIES ON FORM 442

D. DEMONSTRATIONS USED

2.2 WHAT PROGRAM IS CURRENTLY BEING CONDUCTED

A. DUTIES ROTATED OCCASIONALLY, HOW OFTEN

B. INTERIM ACTION BETWEEN MEETINGS OF A.O.S.C.

1. WHAT

2.3 SAFETY COORDINATOR ASSIGNED

A. SPECIFIC DUTIES

2.4 LOCAL GOVERNMENT AND INDUSTRY PROGRAMS REVIEWED

CHAPTER 3 - SAFETY INSPECTION

3.1 FINDINGS AND ACTION FROM LABT FACILITY INSPECTION

INSPECTION SUMMARY

AREA INSPECTION REPORT
 CATEGORY 13
 Special Enforcement Activities

ZONE _____ DATE _____
 AREA INSPECTED _____ INSPECTION NUMBER _____

INSPECTED BY _____ RANK _____ FOLLOW-UP REQUIRED
 YES NO

TYPE OF INSPECTION (check as appropriate)

FORMAL PARTIAL
 INFORMAL COMPLETE
 SELF INSPECTION FOLLOW-UP OF PREVIOUS INSPECTION

INSTRUCTIONS: ATTACH CONSTRUCTIVE, CRITICAL OR COMMENDABLE COMMENTS, APPROPRIATELY REFERENCED, TO ANY ITEM CHECKED IN THE "ACTION REQUIRED" OR "REMARKS" COLUMN. "REMARKS" COLUMN MAY ALSO BE USED FOR SHORT RESPONSES. "INSPECTION SUMMARY" IS THE INSPECTING OFFICER'S OVER-ALL IMPRESSION OF THE EFFECTIVENESS WITH WHICH THE COMMAND HAS FULFILLED ITS RESPONSIBILITIES IN THIS CATEGORY. VERIFY CORRECTIONS BY INITIALING "CORRECTED" COLUMN.

ITEM	SATISFACTORY	ACTION REQUIRED	REMARKS	CORRECTED
13.1 CHAPTER 1 - MOBILE ROAD ENFORCEMENT				
13.1.1 OFFICERS PROPERLY TRAINED				
A. KNOWLEDGE				
B. BASIC COMMERCIAL TRAINING				
13.1.3 OFFICERS PROPERLY EQUIPPED				
A. PUBLICATIONS				
B. TOOLS				
13.1.3 SUPERVISION				
13.1.4 HOURS AND DAYS OF OPERATION				
A. ADEQUATE COVERAGE				
13.1.5 REVIEW CHP FORMS 100-C				
A. WORK ACTUALLY COMMERCIAL				
B. ALLOCATED MOBILE ROAD ENFORCEMENT TIME BEING PROPERLY UTILIZED				
C. COMMENTS BY SUPERVISOR				
13.1.6 TRAFFIC FLOW THROUGH WEIGHING AREA				
3.2 CHAPTER 2 - PLATFORM SCALES				
3.2.1 FACILITY				
A. ADEQUATE				
B. WELL MAINTAINED				
C. PROPERLY EQUIPPED				
D. FIRE PLAN				
E. TRAFFIC FLOW				
3.2.2 OFFICERS PROPERLY TRAINED				
A. KNOWLEDGE				
B. BASIC COMMERCIAL TRAINING				
3.2.3 OFFICERS PROPERLY EQUIPPED				
A. PUBLICATIONS				
B. TOOLS				
3.2.4 HOURS AND DAYS OF OPERATION				
A. ADEQUATE COVERAGE				
3.2.5 SUPERVISION				
A. FREQUENCY OF VISITS TO THE FACILITY BY THE AREA COMMANDER				
B. DAILY LOG				
13.2.6 REVIEW CHP FORMS 100-C				
A. RETENTION SYSTEM				
B. COMMENTS BY SUPERVISOR				
C. DISTRIBUTION OF ENFORCEMENT				
3.3 CHAPTER 3 - COMMERCIAL VEHICLE INSPECTION FACILITIES				
3.3.1 FACILITY				
A. ADEQUATE				
B. WELL MAINTAINED				
C. PROPERLY EQUIPPED				

ITEM	SATISFACTORY	ACTION REQUIRED.	REMARKS	CORRECTED
D. FIRE PLAN				
E. TRAFFIC FLOW				
13.3.2 OFFICERS AND EMPLOYEES PROPERLY TRAINED				
A. KNOWLEDGE				
B. BASIC COMMERCIAL TRAINING				
13.3.3 OFFICERS AND EMPLOYEES PROPERLY EQUIPPED				
A. PUBLICATIONS				
B. TOOLS				
13.3.4 HOURS AND DAYS OF OPERATION				
A. ADEQUATE COVERAGE				
13.3.5 FACILITY TEAM				
A. DO THEY FUNCTION AS A "TEAM"				
B. IS THEIR PLAN OR SYSTEM EFFECTIVE				
C. WHAT PRACTICE, IF ANY, COULD STREAMLINE THE OPERATION				
D. ARE INSPECTIONS PERFORMED WITH A MINIMUM DELAY TO VEHICLES				
E. PROCEDURE FOR RECORDING INSPECTION TIME				
13.3.6 OFFICER PARTICIPATION				
A. DOES THE OFFICER OBSERVE OR CONFIRM VIOLATIONS RECORDED BY INSPECTION SPECIALISTS				
B. ARE OFFICERS ASSIGNED PRIMARILY TO THE INSPECTION AREA				
C. DO THE OFFICERS ACTIVELY PARTICIPATE AND ASSIST IN MAKING INSPECTIONS				
D. WHO SELECTS VEHICLES FOR INSPECTION, AND UPON WHAT BASIS ARE THEY SELECTED				
13.3.7 INSPECTION PROCEDURE				
A. ARE DEPARTMENTAL SIZE AND WEIGHT TOLERANCES UNIFORMLY APPLIED				
B. ARE CURRENT INSPECTIONS FROM OTHER FACILITIES HONORED				
C. ARE ALL VIOLATIONS INDICATED ON THE INSPECTION FORM				
D. ARE DEFECTS NOT CONSTITUTING VIOLATIONS ALSO RECORDED				
E. PROCEDURE WHEN A CHP FM 407/407A FROM A PRIOR INSP. IS PRESENTED SHOWING AN UNCORRECTED VIOL.				
F. OCCUPATIONAL SAFETY				
13.3.8 CHP FORMS 215 AND 281 USE				
A. ARE DECISIONS TO ISSUE A FORM 215 OR 281 BASED ON DEPARTMENTAL POLICY				
B. IS A FORM 215 OR 281 ALWAYS ISSUED FOR OBSERVED EQUIPMENT VIOLATIONS				
13.3.9 SUPERVISION				
A. IS A SUPERVISOR OR OFFICER-IN-CHARGE ON DUTY FOR EACH SHIFT				
B. DOES THE FACILITY SUPERVISOR OBSERVE AND SUPERVISE VEHICLE INSPECTIONS EACH DAY				
C. COORDINATION WITH LOCAL COURT				
D. DAILY LOG				
E. FREQUENCY OF VISITS TO THE FACILITY BY THE AREA COMMANDER				
13.3.10 REVIEW CHP FORMS 100-C				
A. RETENTION SYSTEM				
B. COMMENTS BY SUPERVISOR				
C. DISTRIBUTION OF ENFORCEMENT				
13.4 CHAPTER 4 - MOTOR CARRIER FIELD ACTIVITIES				
13.4.1 REPORTS INDICATE SATISFACTORY PRODUCTION				
A. MONTH TO MONTH, THIS YEAR VS LAST YEAR				
B. QUARTER TO QUARTER, THIS YEAR VS LAST YEAR				
C. INDIVIDUAL ACTIVITY COMPARABLE				
13.4.2 RELATIONS COMPATIBLE - NONUNIFORMED VS UNIFORMED				
A. EXCHANGE INFORMATION WITH COMMERCIAL OFFICERS				
B. ASSIST IN SELECTED ACCIDENT INVESTIGATIONS				
C. ASSIST IN COMMERCIAL VEHICLE TRAINING PROGRAMS				
13.4.3 UNIT SUPERVISOR EFFECTIVE				
A. DAY-TO-DAY CONTACT WITH HIS STAFF				
B. PERIODIC STAFF MEETINGS				
C. MAINTAINS WORK STANDARDS				
D. PLANS AND COORDINATES WORK SCHEDULES				

ITEM	SATISFACTORY	ACTION REQUIRED	REMARKS	CORRECTED
3.4.4 ON-TERMINAL INSPECTIONS SUFFICIENT				
A. PERCENT OF KNOWN CARRIERS INSPECTED ANNUALLY				
B. ADDITIONAL EMPHASIS TO MARGINAL CARRIERS				
C. CONDUCTED IN ACCORDANCE WITH DEPARTMENT PROCEDURE				
D. SAFETY RULES BEING FOLLOWED				
E. RECORD INSPECTION INCLUDED				
F. PERCENT OF CARRIER'S VEHICLES INSPECTED				
G. SCHEDULED BUSES INSPECTED				
H. FARM LABOR VEHICLES INSPECTED				
3.4.5 FILES				
A. FORM 343 CONTAINS CARRIERS' SIGNATURES				
B. FORM 343 COMPLETE				
C. FORM 343 BEING SUSPENDED AND FOLLOWED-UP				
3.4.6 EMERGENCY RESOURCES PLAN UP-TO-DATE				
A. FILED ACCORDING TO DEPARTMENTAL STANDARDS				
3.4.7 PERCENT OF TIME ON SPECIAL ACTIVITIES				
3.5 CHAPTER 5 - NOISE ENFORCEMENT TEAMS				
3.5.1 OFFICERS PROPERLY TRAINED				
A. KNOWLEDGE				
B. SOUND MEASUREMENT ENFORCEMENT TRAINING				
3.5.2 OFFICERS PROPERLY EQUIPPED				
A. PUBLICATIONS				
B. TDDLS				
3.5.3 SUPERVISION				
A. SUPERVISOR DESIGNATED				
B. DETERMINATION OF WORK LOCATIONS				
C. VISITS TO WORK LOCATIONS BY SUPERVISOR				
D. VISITS TO WORK LOCATIONS BY COMMANDER				
3.5.4 ENFORCEMENT OBSERVATION				
A. DEPARTMENTAL TOLERANCES UNIFORMLY APPLIED				
B. ENFORCEMENT GUIDELINES FOLLOWED				
C. NOISE SITE REQUIREMENTS ADHERENCE				
3.5 REVIEW OF CHP FORMS 95, 115 AND SUMMARIES				
A. ENFORCEMENT VARIED BY SPEED ZONE AND VEHICLE TYPE				
B. PERCENTAGE OF VIOLATIONS CONFIRMED BY METER				
C. MAXIMUM MAN HOURS UTILIZED FOR SOUND ENFORCEMENT-RELATED ACTIVITIES				

INSPECTION SUMMARY

INSPECTION SUMMARY

Lined area for writing the inspection summary.

AREA INSPECTION REPORT
CATEGORY 14
Communications Systems

ZONE	DATE
AREA INSPECTED	INSPECTION NUMBER

INSPECTED BY	RANK	FOLLOW-UP REQUIRED <input type="checkbox"/> YES <input type="checkbox"/> NO
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TYPE OF INSPECTION (check as appropriate)

<input type="checkbox"/> FORMAL	<input type="checkbox"/> PARTIAL
<input type="checkbox"/> INFORMAL	<input type="checkbox"/> COMPLETE
<input type="checkbox"/> SELF INSPECTION	<input type="checkbox"/> FOLLOW-UP OF PREVIOUS INSPECTION

INSTRUCTIONS: ATTACH CONSTRUCTIVE, CRITICAL OR COMMENDABLE COMMENTS, APPROPRIATELY REFERENCED, TO ANY ITEM CHECKED IN THE "ACTION REQUIRED" OR "REMARKS" COLUMN. "REMARKS" COLUMN MAY ALSO BE USED FOR SHORT RESPONSES. "INSPECTION SUMMARY" IS THE INSPECTING OFFICER'S OVER-ALL IMPRESSION OF THE EFFECTIVENESS WITH WHICH THE COMMAND HAS FULFILLED ITS RESPONSIBILITIES IN THIS CATEGORY. VERIFY CORRECTIONS BY INITIALING "CORRECTED" COLUMN.

ITEM	SATISFACTORY	ACTION REQUIRED	REMARKS	CORRECTED
4.1 CHAPTER 1 - RADIO OPERATION				
4.1.1 OFFICE EQUIPPED WITH TRANSMITTER/RECEIVER				
A. ESSENTIAL FREQUENCIES MONITORED				
B. CONVENIENTLY, EFFICIENTLY ARRANGED				
4.1.2 DOES USE CONFORM TO DEPARTMENTAL POLICY				
A. "PROFESSIONAL" TRANSMITTING PROCEDURES				
1. FROM STATION				
2. FROM MOBILE UNITS				
B. REQUIRED 10-11 SIGNALS GIVEN				
C. NOISE LEVEL REASONABLE				
1. DISPATCH CENTER				
2. BUSINESS OFFICE				
D. ADEQUATELY STAFFED TO HANDLE ALL FUNCTIONS				
E. MINIMAL EXTRANEIOUS CONVERSATION				
1. OVER AIR, BOTH DIRECTIONS				
2. AT CONSOLE				
F. ARE OPERATOR'S AUTHORITY LIMITS CLEAR				
G. POLICY GOVERNING USE OF BASE STATION				
H. LOGS PROPERLY MAINTAINED				
1. DISPATCHERS MAINTAIN SUPPLEMENTAL RECORDS				
1. INCIDENT OR SHIFT JOURNAL				
2. IN-CUSTODY LOG				
3. STORED VEHICLE LOG				
J. COMMANDER GIVEN INCIDENT LOG DAILY				
K. VITAL MESSAGES GIVEN TO ALL CONCERNED				
1. UPDATES AT SHIFT CHANGES				
L. PROCEDURES FOR HANDLING CODE 20 CALLS				
1. CALL LIST AVAILABLE				
2 CHAPTER 2 - COMMUNICATIONS REFERENCES				
2.1 UP-TO-DATE REFERENCE MATERIALS AVAILABLE				
A. COMMUNICATIONS MANUAL - HPM 60.1				
B. AREA S.O.P.				
C. AMBULANCE, TOW ROTATION LISTS/SECTOR MAPS				
D. EMERGENCY SERVICES DIRECTORY				
E. MAPS				
F. BEAT BOUNDARIES/DESCRIPTIONS				
G. TELEPRINTER SYSTEM MANUAL				
H. TELEPHONE DIRECTORIES, ROTARY/BOOKS				
I. HAZARDOUS MATERIALS TRANSPORTATION - HPM 84.2				
J. CHEM CARD				
X. EMERGENCY REPAIRS DIRECTORY				
3 CHAPTER 3 - RECORDS SYSTEM				

ITEM	SATISFACTORY	ACTION REQUIRED	REMARKS	CORRECT
14.3 1 REQUIRED LOGS LEGIBLE, COMPLETE, RETAINED				
A. RADIO TRANSMISSIONS				
B. TELEPRINTER MESSAGES				
C. TELEPHONE TOLL CALLS				
1. AVAILABLE FOR RECONCILING				
14.4 CHAPTER 4 - TELEPRINTER OPERATION				
14.4 1 OPERATOR DEMONSTRATES PROFICIENCY				
A. VEHICLE OPERATION				
B. WANTED PERSONS				
C. WEAPON STATUS				
D. KNOWLEDGE OF COMMUNICATIONS MANUAL				
E. USE IN LIEU OF RADIO				
F. ERRORS IN PREVIOUSLY SENT MESSAGES				
14.4 2 ALTERNATE TRAINED				
A. QUICK REFERENCE GUIDE AVAILABLE				
B. SAMPLE MESSAGES				
14.5 CHAPTER 5 - TELEPHONE				
14.5 1 SYSTEMS AVAILABLE, ADEQUATE				
A. ATSS				
B. ODT				
C. INTERCOM				
D. CALL DIVERTER				
14.5 2 TELEPHONE EFFICIENCY				
A. LEAST EXPENSIVE MEANS USED				
B. CLERICAL SEQUENCE FOR ANSWERING				
C. COURTEOUS BUSINESSLIKE MANNER				
D. EXPEDITIOUS SYSTEM FOR ROUTING CALLS				
E. INTERCOM SYSTEM USED				
F. NUMBER OF TELEPHONES ADEQUATE				
1. APPROPRIATELY PLACED				
2. OUTSIDE PUBLIC PHONE WITH NUMBER PROMINENT				
14.6 CHAPTER 6 - HAZARDOUS DRIVING INFORMATION				
14.6 1 INFORMATION COLLECTION AND DISSEMINATION				
A. REPORTING PROCEDURE WORKABLE, ACCURATE, TIMELY				
B. UPDATING RECORDINGS				
C. POSTED FOR TELEPHONE RESPONSES				
14.7 CHAPTER 7 - TRAINING USERS				
14.7 1 LOCAL TRAINING PROGRAM				
A. BASE STATION RADIO PERSONNEL TRAINED RECENTLY				
B. DISPATCH POINT RADIO PERSONNEL TRAINED RECENTLY				
C. TELEPRINTER TRAINING PROVIDED RECENTLY				
1. UNIFORMED				
2. CLERICAL				
D. TELEPHONE TRAINING PROGRAM PROVIDED				
1. AREA				
2. COMPANY PRESENTED				

INSPECTION SUMMARY

AREA INSPECTION REPORT
CATEGORY 15
 Passenger Vehicle Inspection

ZONE	DATE
AREA INSPECTED	INSPECTION NUMBER

INSPECTED BY	RANK	FOLLOW-UP REQUIRED <input type="checkbox"/> YES <input type="checkbox"/> NO
--------------	------	--

TYPE OF INSPECTION (check as appropriate)

<input type="checkbox"/> FORMAL	<input type="checkbox"/> PARTIAL
<input type="checkbox"/> INFORMAL	<input type="checkbox"/> COMPLETE
<input type="checkbox"/> SELF INSPECTION	<input type="checkbox"/> FOLLOW-UP OF PREVIOUS INSPECTION

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ITEM	SATISFACTORY	ACTION REQUIRED	REMARKS	CORRECTED
3.1 CHAPTER 1 - INFORMATION AND LIAISON				
3.1.1 LOCAL INFORMATION DEVELOPED REGARDING PVI PROGRAM				
A. AVAILABLE TO NEWS MEDIA				
B. LAST NEWS RELEASE REGARDING PVI PROGRAM				
C. PVI PROGRAM INCLUDED IN SPEAKING ENGAGEMENTS				
3.1.2 COORDINATION WITH LOCAL OFFICIALS				
A. LOCAL ENFORCEMENT OFFICIALS AWARE OF PROGRAM				
B. CONTINUING LIAISON WITH CITIES				
C. COURTS AWARE OF POLICY AND FEDERAL REQUIREMENTS				
3.2 CHAPTER 2 - SITE LOCATIONS				
2.1 DO THEY APPEAR APPROPRIATE				
A. HOW ARE THEY SELECTED				
B. IS A LIST MAINTAINED				
C. LOCATED THROUGHOUT THE AREA				
D. REASONABLY ROTATED				
E. SCHEDULED AHEAD				
3.3 CHAPTER 3 - SUPERVISION				
3.3.1 IS A SUPERVISOR ASSIGNED (SERGEANT OR ABOVE)				
A. AWARE OF WHY PVI				
B. OBSERVE AND REVIEW LANE OPERATION				
C. HOLD PVI BRIEFINGS				
D. DISSEMINATE CURRENT INFORMATION				
3.3.2 LAST TIME AREA COMMANDER REVIEWED OPERATION				
A. PHYSICALLY OBSERVE OPERATION				
4 CHAPTER 4 - ON-SITE INSPECTION				
4.1 SAFE LANE LOCATION				
A. WARNING DEVICES PLACED PROPERLY				
B. SIGNS PROPERLY DISPLAYED				
C. POINT MAN ALERT				
4.2 RANDOM SELECTION OF VEHICLES				
A. VOLUME CONSISTENT WITH QUALITY OF INSPECTION				
B. ADEQUATE INSTRUCTION TO DRIVERS				
4.3 INSPECTION EFFICIENT AND EXPEDIENT				
A. UNIFORMS AND COMEANOR OF TEAM MEMBERS				
B. SAFE OPERATING PROCEDURES				
C. COMPLETE CIRCLE SERVICE OF ALL CATEGORIES				
5 CHAPTER 5 - ENFORCEMENT FORMS				
5.1 ACTIONS AND PROCEDURES CONFORM TO HPM 86.1				
A. FORMS ACCURATE, COMPLETE AND LEGIBLE				
B. CLEARANCE INSTRUCTIONS TO DRIVER ADEQUATE				
C. CLEARED IN PROPER MANNER				
D. USED AND FILED IN NUMERICAL SEQUENCE				

ITEM	SATISFACTORY	ACTION REQUIRED	REMARKS	CORRECTED
15.6 CHAPTER 6 - PVI TEAM REPORT - FORM 84				
15.6.1 ACCURATE, COMPLETE AND LEGIBLE				
A. EXPLANATION FOR OTHER HOURS				
15.6.2 E.F.T.O. WITHIN REASONABLE TOLERANCE				
15.7 CHAPTER 7 - STATISTICAL INFORMATION				
15.7.1 TEAM MEMBERS AWARE OF TEAM STATISTICS				
A. TRAVEL TIME APPROPRIATE				
B. OFFICE HOURS EXCESSIVE				
C. RATIO OF 215 TO WARNINGS APPROPRIATE				
D. PERCENT OF VEHICLES IN VIOLATION REASONABLE				
E. VEHICLES PER LANE HOUR				
15.8 CHAPTER 8 - TRAINING OF PVI PERSONNEL				
15.8.1 MEMBERS ADEQUATELY TRAINED				
A. DUTIES OF TEAM LEADER DEFINED				
B. DUTIES OF EACH POSITION ESTABLISHED				
C. DEPARTMENT PUBLICATIONS CURRENT				
D. TEAM OPERATE WITHIN DEPARTMENTAL POLICY				
15.8.2 AREA PVI S.O.P. MAINTAINED CURRENT				
A. OCCUPATIONAL SAFETY GUIDELINES				
B. UNIFORM INSTRUCTIONS TO DRIVERS				
C. PROCEDURE FOR REMOVING STALLED VEHICLES				
15.9 CHAPTER 9 - MAINTENANCE OF EQUIPMENT				
15.9.1 EQUIPMENT PROPERLY STORED				
A. PROPERLY MAINTAINED				
B. AIMERS CALIBRATED AS REQUIRED				
C. CONES AND SIGNS IN CLEAN CONDITION				
D. SECURITY OF PVI STICKERS				
E. UNUSED STICKERS RETURNED				

INSPECTION SUMMARY

DEPARTMENTAL DISCIPLINE

WHO IS SUBJECT TO DISCIPLINARY ACTION. Any member or employee violating his oath and trust by committing an offense punishable under the laws or statutes of the United States, the State, or local ordinances, or who violates any provision of a departmental order including the Rules and Regulations of the Department, or who disobeys any lawful command, or who is incompetent to perform his duties is subject to appropriate disciplinary action.

PENALTIES. The following penalties may be assessed against any member or employee of the Department as disciplinary action:

- Oral reprimand
- Written reprimand
- Voluntary surrender of time off in lieu
of other action
- Voluntary surrender of accumulated
overtime in lieu of other action
- Suspension
- Fine
- Demotion
- Dismissal from the service

DEPARTMENTAL AUTHORITY TO DISCIPLINE. Final departmental disciplinary authority and responsibility rest with the Chief of Police. Except for oral reprimands and emergency suspensions all departmental discipline must be taken or approved by the Chief of Police.

Other supervisory personnel may take the following disciplinary measures:

- Oral reprimand
- Written reprimand (subject to approval by
the Chief of Police)
- Emergency suspension
- Written recommendations for other penalties

EMERGENCY SUSPENSION. Supervisory personnel have the authority to impose emergency suspension up to 24 hours against a member or employee when it appears that such action is in the best interests of the department.

EMERGENCY INTERDIVISIONAL DISCIPLINARY ACTION. When the improper conduct of a member or employee of one unit is of such a nature that immediate or emergency disciplinary action is required of a command or supervisory officer of another unit, such action may be taken at once within the following limitations:

- Oral reprimand
- Emergency suspension up to 24 hours

Interdivisional Oral Reprimand. When the command or supervisory officer of one unit orally reprimands a member or employee of another unit, he shall notify the supervisor of the member so disciplined as soon as possible. He shall also submit a written report of this action and reason therefor to his supervisor and also to the commanding officer of the member or employee.

FOLLOWUP ACTION ON EMERGENCY SUSPENSIONS. A member or employee receiving an emergency suspension shall be required to report to the Chief of Police on the next business day at 0900 unless otherwise directed by competent authority.

The command or supervisory officer imposing or recommending the suspension shall also report to the Chief of Police at the same time.

REPORTS OF DISCIPLINARY ACTION TAKEN OR RECOMMENDED.

Whenever disciplinary action is taken or recommended (except for oral reprimand) a written report must be submitted immediately containing the following information:

- a. The name, rank, serial number and present assignment of the person being disciplined.
- b. The date, time, and location of the misconduct.
- c. The section number(s) of this manual violated or common name of the infraction.
- d. A complete statement of the facts of the misconduct.
- e. The penalty imposed or recommended.
- f. The written signature, serial number, and rank of the preparing officer and his position in relation to the member being disciplined.

DISTRIBUTION OF REPORTS OF DISCIPLINARY ACTION. The report shall be distributed as follows by the officer imposing or recommending disciplinary action.

- a. Original to the Chief via the complete chain of command.
- b. Duplicate to subject's commanding officer.
- c. Triplicate retained by officer imposing or recommending the action.

INFORMING THE PERSON BEING DISCIPLINED. The member or employee being disciplined shall be informed of the charges and penalties assigned at the time such action is taken.

MISCONDUCT OBSERVED BY POLICE PERSONNEL. Whenever any command or supervisory officer observes or is informed of the misconduct of another member or employee which indicates

the need for disciplinary action, he shall take authorized and necessary action and render a complete report of the incident and his actions to his commanding officer.

CITIZEN COMPLAINTS AGAINST POLICE PERSONNEL. Complaints by citizens against members or employees of this Department shall be processed in the following manner:

- a. During Normal Business Hours. Such complaints shall be referred to the Chief who should then ordinarily designate the commanding officer of the member involved to conduct the investigation.

Other Times. Notify the officer-in-charge who will take one of the following actions:

- (1) Instruct a supervisor to receive and investigate the complaint.
- (2) Receive and investigate the complaint himself.

SERIOUS COMPLAINTS OR ALLEGATIONS. If in the opinion of the officer-in-charge, the incident is of sufficient gravity, he shall notify his commanding officer regardless of the hour. In addition, he shall take any immediate action necessary to preserve the integrity of the Department until the arrival of his commanding officer.

INVESTIGATION OF ALLEGED MISCONDUCT. The officer assigned the investigation of an alleged act of misconduct on the part of a member or employee of this Department shall conduct a thorough and accurate investigation.

Such investigation shall include formal statements from all parties concerned, when necessary and pertinent, the gathering and preservation of any physical evidence pertaining to the case, and all other information bearing on the matter.

Reports of Investigation of Alleged Acts of Misconduct. Alleged acts of misconduct must be investigated and the results of the investigation must be reduced to a written report.

The investigating officer shall summarize the pertinent facts including:

- a. An abstract (summary) of the complaint or alleged act of misconduct.
- b. Pertinent portions of the statements of all parties to the incident.
- c. A description of the incident, physical evidence and other evidence important to the case.
- d. The observations and conclusions of the investigating officer.

Findings. One of the findings listed below will be included in the report of investigation of an alleged act of misconduct.

- a. Unfounded: The investigation indicates that the act or acts complained of did not occur or failed to involve police personnel.
- b. Exonerated: Acts did occur but were justified, lawful and proper.
- c. Not Sustained: Investigation fails to discover sufficient evidence to clearly prove or disprove the allegations made in the complaint.
- d. Sustained: The investigation disclosed sufficient evidence to clearly prove the allegations made in the complaint.
- e. Not Involved: Investigation establishes that the individual receiving this "Report of Findings" was not involved in the alleged incident.

NAME: (Last)	(First)	(Middle)	RANK	UNIT OF ASSIGNMENT	DATE APPOINTED:			Month	Day	Year
					DATE OF BIRTH:	Month	Day			
CONTROL NO.	DATE	COMPLAINANT	ALLEGATION	INVESTIGATION COMPLETED	FINDING	RECOMMENDATION	FINAL ACTION			

IAS COMPLAINT RECORD CARD

**LANSING POLICE DEPARTMENT
Citizen - Police Complaint Form**

NAME AND RANK OF PERSON COMPLAINED AGAINST	UNIT AND WATCH	DUTY PHONE
COMPLAINANT'S NAME	ADDRESS	PHONE
	BUSINESS ADDRESS	BUS PHONE
OFFICER'S NAME	ADDRESS BUSINESS ADDRESS	PHONE BUS PHONE
OFFICER'S NAME	ADDRESS BUSINESS ADDRESS	PHONE BUS PHONE
OFFICER'S NAME	ADDRESS BUSINESS ADDRESS	PHONE BUS PHONE
DATE AND TIME OF OCCURRENCE	LOCATION OF OCCURRENCE	

DETAILS OF COMPLAINT:

COMPLAINT RESOLVED (NOTE METHOD USED IN NARRATIVE) <input type="radio"/>	FORWARDED FOR INVESTIGATION (SEE DISTRIBUTION INSTRUCTIONS BELOW) <input type="radio"/>	
DATE AND TIME COMPLAINT RECEIVED	NAME AND RANK OF PERSON RECORDING COMPLAINT	UNIT AND WATCH
DATE AND TIME RECEIVED FOR INVESTIGATION	NAME AND RANK OF INVESTIGATOR ASSIGNED	UNIT AND WATCH
DATE AND TIME INVESTIGATION COMPLETED	SIGNATURE OF INVESTIGATOR	THIS COMPLAINT IS: <input type="checkbox"/> EXONERATED <input type="checkbox"/> UNFOUNDED <input type="checkbox"/> SUSTAINED <input type="checkbox"/> NOT SUSTAINED <input type="checkbox"/> OTHER MISCONDUCT ATTACH COMPLETE INVESTIGATIVE REPORT AND FORWARD.
DISTRIBUTION: SEND ORIGINAL DIRECTLY TO THE INTERNAL AFFAIRS UNIT. IF COMPLAINT IS NONCRIMINAL NATURE, COPY SHALL BE FORWARDED TO THE ACCUSED'S IMMEDIATE SUPERVISOR.		

ATTACH ADDITIONAL SHEETS OF BLANK PAPER IF NECESSARY.

**LANSING POLICE DEPARTMENT
Disciplinary Charge Sheet**

NAME OF PERSON CHARGED	RANK	SERVICE NO.	UNIT AND WATCH	DUTY PHONE
NAME OF CHARGING PERSON	RANK	SERVICE NO.	UNIT AND WATCH	DUTY PHONE

SPECIFIC CHARGES ARE THAT ON OR ABOUT _____, AT _____, THE CHARGED PERSON DID VIOLATE THE RULE(S), REGULATION(S), PROCEDURE(S) DIRECTIVE(S) OR ORDER(S) OF THE LANSING POLICE DEPARTMENT: (CITE PROPER TITLE AND NUMERICAL REFERENCE)

FACTS OF OFFENSE (CITE ALL RELEVANT FACTS SUPPORTING VIOLATION; USE ADDITIONAL SHEETS IF NECESSARY).

TERMINED BY _____, WHO RETURNED A FINDING OF _____ (ATTACH COMPLAINT FORM AND INVESTIGATIVE REPORT)

CHARGING PERSON'S SIGNATURE	DATE	RECOMMENDED ACTION		WRITE A SEPARATE LETTER ON ALL NON-CONCURRENCES, GIVING REASON AND RECOMMENDATIONS. ATTACH LETTER TO THIS CHARGE SHEET.
CHARGING PERSON'S SIGNATURE (SGT)	DATE	<input type="radio"/> I CONCUR	<input type="radio"/> I DO NOT CONCUR	
CHARGING PERSON'S SIGNATURE (LT)	DATE	<input type="radio"/> I CONCUR	<input type="radio"/> I DO NOT CONCUR	
CHARGING PERSON'S SIGNATURE (CAPT)	DATE	<input type="radio"/> I CONCUR	<input type="radio"/> I DO NOT CONCUR	
CHARGING PERSON'S SIGNATURE (DEPUTY CHIEF)	DATE	<input type="radio"/> I CONCUR	<input type="radio"/> I DO NOT CONCUR	
CHARGING PERSON'S SIGNATURE (ASSIST CH)	DATE	<input type="radio"/> I CONCUR	<input type="radio"/> I DO NOT CONCUR	

APPROVED BY CHIEF OF POLICE: _____
ACTION TO BE TAKEN AS DETERMINED BY CHIEF OF POLICE: _____

ADDITIONAL COMMENTS: _____

NOTIFY THAT I HAVE BEEN NOTIFIED OF THE ACTION TO BE TAKEN	DATE NOTIFIED	TIME NOTIFIED	SIGNATURE OF ACCUSED	SIGNATURE OF PERSON NOTIFYING
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ACCEPT THE ACTION TO BE TAKEN

SIGNATURE DATE TIME

ACCEPT THE ACTION TO BE TAKEN AND REQUEST A TRIAL BOARD HEARING. I UNDERSTAND THAT FAILURE TO APPEAL TO THE TRIAL BOARD WITHIN THREE (3) WORKING DAYS WILL BE DEEMED AS ACCEPTANCE OF ACTION TO BE TAKEN.

SIGNATURE DATE TIME

TRIAL BOARD ACTION

TRIAL BOARD SELECTED	DATE BOARD CONVENED	BOARD'S FINDINGS AND RECOMMENDATIONS (ATTACH REPORT)
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EXAMPLE OF MODEL POLICE DISCIPLINARY ORDER

(Note: Some modification may be necessary to adjust for local terminology and law.)

GENERAL ORDER: 79 _____

SUBJECT: Complaint, Disciplinary and Summary
Punishment Procedures

The purpose of this order is to insure the integrity of the police department by establishing procedures for handling complaints and disciplinary actions against members of the department. These procedures will assure the prompt and thorough investigation of incidents to clear the innocent, establish guilt, and facilitate suitable disciplinary action. This order is based on the policies that discipline is the function of command and a well-disciplined force is a force which voluntarily and ungrudgingly conforms to all rules and orders.

I. SCOPE OF THIS ORDER

- A. The incidents which are to be handled in accordance with the provisions of this order are alleged or suspected violations of statutes, ordinances, the department rules or orders, by members (sworn and civilian, including temporary employees), of the police department.
 - 1. Members holding exempt positions are excluded from the provisions of this order except where specifically mentioned.

- B. The incidents include:
 - 1. Those reported to supervising or commanding officers by members of the department, either orally or in writing, by telephone or by correspondence, either signed or anonymous.

2. Those referred by the office of the mayor, city manager or director of safety.
3. Those observed by supervisory or commanding officers.

II. AUTHORITY AND RESPONSIBILITIES

A. Individual Responsibility

1. Each member of the department will perform the duties and assume the obligations of his rank in the investigation of complaints or allegations of misconduct against members of the department and will cooperate fully with personnel of the Internal Investigation Section or any other member of the department conducting such investigation. Supervisory and command personnel will themselves initiate investigations when the subject complained of or observed in an infraction is within the scope of their authority; they will not look to higher authority for the initiation of this section.
2. Alleged or suspected violations will be reported to the Internal Investigation Section by the supervisor or commanding officer who first receives information of the alleged violation, even when it is believed to be unfounded. The information will be reported by telephone as soon as possible and, in any event, within one hour of receipt of knowledge of the incident. Exceptions to these requirements are:
 - a. Disciplinary action for less serious transgressions in accordance with the provisions of Article VI of this order.
 - b. Complaints relative to differences of opinion between a police officer and a citizen over the issuance of a traffic summons, unless there is an allegation of a violation of law or of department rules or orders on the part of the officer. In such instances the investigation will be restricted to the specific allegation of misconduct.

B. Internal Investigation Section

1. The Internal Investigation Section is a staff unit which coordinates and exercises staff supervision over investigations of complaints or allegations of misconduct against members of the department. Since discipline is a function of command, the responsibility for the conduct of such investigations normally rests within the established chain of command. However, the Internal Investigation Section will be responsible for the investigation of the following types of cases:
 - a. All charges by citizens against department personnel.
 - b. All referrals from the office of the mayor, city manager, or safety director.
 - c. Allegations against department personnel involving the commission of a criminal offense, gross misconduct or negligence of duty.

2. The Internal Investigation Section will:
 - a. Upon receipt of an alleged violation (1) refer it to an appropriate command; or (2) make a preliminary investigation and then assign it to an appropriate command; or (3) make an independent investigation of the complaint.

 - b. Maintain a bound ledger to be known as the Internal Investigation Control Log. Spaces will be provided in the ledger for the control number; name, rank, serial number and assignment of the alleged violator; date and hour of receipt of the telephone report; nature of the alleged violation; name of reporting person, and (if sworn) rank and serial number of the reporting member; date and hour of receipt of the first written report; date the case was considered by the department Trial Board; date and nature of the final action by the chief of police.

- c. Insure that the custodian of the Internal Investigation Control Log, upon receipt of a report:
 - (1) Gives the control number of the case to the reporting member;
 - (2) Makes suitable entries in the register; and
 - (3) Notifies the commanding officer and other appropriate officers within the Internal Investigation Section.

- d. Safeguard the Internal Investigation Control Log and permit no access to it except the following: the mayor, the city manager, the director of safety, the chief of police, the commander of the Inspectional Services Bureau and the commanding officer of the Internal Investigation Section.

- e. Be responsible for the expeditious completion of investigations assigned to appropriate command after the preliminary investigation conducted by the Internal Investigation Section has revealed the complaint to involve those standards of conduct and appearance stated in Article VI B.

- f. Assist investigators engaged in complaint investigations:
 - (1) Upon their justifiable request; or
 - (2) When the Internal Investigation Section concludes that assistance may be needed. The conclusion will be based on the seriousness of the alleged violation, the reputation of the accused person, and the investigative competence and spirit of the investigator and the commanding officer of the investigation.

- g. Conduct an investigation at the request of any member of the department who justifiably feels threatened by a false accusation or a contrived situation involving false evidence. Such persons are authorized to report their situations directly to the commanding officer of the Internal Investigation Section without reporting to their superiors.
3. After a "sustained" classification (Article III K) has been determined, the Internal Investigation Section will:
 - a. Upon request of the investigating command, send a summary of previous disciplinary actions to the command for inclusion in the final report.
 - b. When the action being recommended to the chief of police is 30 days' suspension or less, or voluntary surrender of time off in lieu of suspension, notify by telephone the commanding officer of the accused of the recommendation that is to be made, and request him to inform the accused and give the latter 24 hours in which to waive or exercise his right to a hearing before the department's Trial Board by submitting a written report.
 - c. Upon receipt of written notice from the accused that he has requested a Trial Board hearing, send the report to the commander of the Inspectional Services Bureau for action.
 - d. Upon receipt of a written report from the accused that he accepts the recommendation and waives his right to a Trial Board hearing, send the investigation report, together with this waiver, to the chief of police for his action.

C. Trial Board

1. All members of the rank of lieutenant and above will be eligible for appointment to a Trial Board. When selecting a Trial Board panel, the chief of police shall designate a

high ranking official as presiding officer and shall select three other members. No officer so designated can be serving as the commanding officer of the accused. The fifth board member shall be chosen by the accused from anyone within the department.

2. Trial Board

- a. Upon recommendation by an investigator (and his reviewing commander) for removal from the department;
- b. When the accused requests a hearing; or
- c. Upon direction of the chief of police, mayor, city manager, or director of safety.

3. The commanding officer of the Inspectional Services Bureau will prepare cases for presentation to the Trial Board, requesting additional investigation when needed. He will schedule the cases and arrange for the hearings to be recorded. He will forward the findings and recommendations of the Trial Board directly to the chief of police for action.

4. The hearing is to determine the truth or falsity of allegations made against department personnel. The hearing is not a judicial trial. The hearing shall bring out any evidence pertinent to the issue.

- a. The presiding officer shall decide any question of procedure or acceptability of evidence, accepting any evidence which is reasonably relevant to the charges.

5. The Trial Board will consider the investigation reports, statements and other documents, testimony of witnesses, previous disciplinary actions taken against the accused, previous complimentary history, and such other evidence as it deems appropriate. The board will hear the plea of any accused who wishes to be heard and, in its discretion, may

order the accused or any other member of the department to appear. On the basis of its findings, the Trial Board will recommend to the chief of police one of the following actions:

- a. Further investigation with specific recommendations.
- b. Dismissal of the charge
- c. Finding a charge not sustained.
- d. Finding a charge sustained, and resulting in one of the following actions:
 - (1) Oral reprimand.
 - (2) Written reprimand
 - (3) Surrender of accumulated time or forfeiture of days off not to exceed two days.
 - (4) Suspension not to exceed 30 days.
 - (5) Demotion.
 - (6) Removal from the department

D. Chief of Police

1. The chief of police will review recommendations for disciplinary actions including those of the Trial Board, and he will take such action as he considers appropriate. He shall have the power to sustain or reduce the recommended action, or dismiss the charge.

2. The chief of police shall immediately notify the accused of his decision. When the decision is suspension, demotion or removal from the department, the accused shall have 72 hours in which to exercise his right to an appeal hearing before the Civil Service Commission by submitting a written notice. The written notice received from the accused will be forwarded by the chief of police to the Civil Service Commission.
 - a. The Civil Service Commission is vested with the authority to hear appeals, and its action constitutes the final decision.

3. Members holding exempt positions are subject to the chief's disciplinary action without going through the trial and appeal process stated above. The disciplinary action includes:
 - a. Suspension up to 30 days.
 - b. Demotion to a lesser exempt rank.
 - c. Demotion to the member's permanent competitive rank if the member has such status.
 - d. Dismissal from the department, except those who have a permanent competitive rank status.

Any further disciplinary action against members holding exempt positions but having permanent competitive rank must be made in accordance with the trial procedures set forth for any other members of the department.

III. CONDUCT OF THE INVESTIGATION

- A. The individual designated as the "investigator" shall be:
 1. The ranking on-duty member of the unit which has initiated an investigation.

2. The detailed member of a unit to which the investigation has been assigned by the Internal Investigation Section.
 3. A member of the Internal Investigation Section assigned to conduct the investigation.
- B. The commanding officer of the assigned unit will be responsible for insuring a complete and expeditious investigation, and may detail other members of the unit to assist in the investigation or to continue the investigation when the investigator is off duty or otherwise unavailable.
- C. Bureau and division commanders will be available at all times for consultations and direction in the conduct of complaint investigations.
- D. The investigator will be responsible for informing the ranking on-duty commander of the continuing developments in the investigation in order that it may be determined whether to:
1. Retain the accused in his present assignment;
 2. Assign the accused to some other duty where he is under close supervision and has limited contact with the public or with other police officers; or
 3. Excuse the accused from duty or seek his immediate suspension.
- E. When an investigation is being made of a complaint against a member not assigned or detailed to the unit making the investigation, the ranking on-duty commander of the investigative unit will notify the on-duty commander of the unit of the accused.
- F. When there are indications that the person complained against has been drinking, he will be immediately required to submit to visual tests, the results of which will be reported on a Sobriety Form, supplemented by a chemical test. The lapse of time, expressed in minutes, between the initial report or observations of the person's condition and the intoxication tests will be accurately recorded.

- G. When the act complained of is immoral, indecent, brutal, involves the actual or threatened physical mistreatment of another person, or when the accused person has been drinking, he will be excused from duty. Under no circumstances will the accused be excused from duty for a period longer than 48 hours without the permission of the commanding officer of the Internal Investigation Section or the chief of police. Whenever an accused is excused from duty, the investigator will immediately notify:
1. The Internal Investigation Section;
 2. The commander of the Fiscal and Property Management Section (for payroll purposes); and
 3. The appropriate bureau to which the member is assigned.
- H. When the act complained of is a crime, and the evidence is such that had the crime been committed by a private person it would have resulted in his arrest, the investigator will explain the circumstances to the commander of his bureau or to the commanding officer of the Internal Investigation Section, and request a decision as to whether the accused person should be arrested forthwith, or a warrant for his arrest should first be obtained, or criminal action should be delayed pending further investigation. The preferable method is to delay arrest and present all facts and evidence to the commanding officer of the Internal Investigation Section at once. The commanding officer of the Internal Investigation Section will then seek the advice of the commander of the Inspectional Services Bureau and advise the investigator of the procedure to follow.
- I. Written statements will be taken from the accused and from witnesses and complainants when they are helpful or desirable in arriving at a sound conclusion. If the complaint is sustained, the statements must establish the basis for the disciplinary action to be taken. The statements need not be of a formal question and answer type or even of a narrative type. Instead, they may be in the form of a report from the investigator, the accused, or another officer. Whatever the form, all relevant information must be included. When Trial Board action is to be recommended, however, the statement of complaining witnesses and the accused should always be obtained. When possible and when in the judgment of the investigator a useful purpose is thereby achieved, all statements by an accuser will be read to the accused in the presence of the accuser and any declarations made by the accused recorded. This procedure will not be used to embarrass the accuser or so tempt him to deviate from the truth of his accusation.

J. Should it be determined at any time during the investigation that the complaint is clearly unfounded, the investigation will be terminated and reports and statements giving evidence of the justification for the unfounding forwarded in accordance with the provisions of Article IV of this order.

K. When the investigation is completed, the investigator will classify the complaint as follows:

1. Unfounded. Allegation is false or not factual.
2. Exonerated. Incident complained of occurred but was lawful and proper.
3. Not sustained. Insufficient evidence either to prove or disprove the allegation.
4. Sustained. The allegation is supported by sufficient evidence

L. When the investigation results in a determination of Unfounded, the investigator will so notify the accused person, informing him that the determination is subject to review. When the investigation results in a determination of Unfounded, Exonerated, or Not Sustained, the accused will be continued on duty. Should he have been excused from duty, he will be paid for this period of time as though he had worked.

M. When the investigation is classified as Sustained, the commander of the Inspectional Services Bureau, when feasible, after consultation with the commanding officer of the accused, the Internal Investigation Section commander, and the investigator, may recommend:

1. Oral Reprimand.

The final report will indicate when, where, and by whom given and the substance of the reprimand. An entry will be made in the employee's oral reprimand record.

2. Written Reprimand.

The reprimand will be prepared and presented to the accused by his commanding officer. A copy will be sent to the commander of the Personnel Section and two copies to the Internal Investigation Section.

3. Voluntary Surrender of Time Off in Lieu of Suspension.

a. When voluntary surrender of time off is recommended, it may not exceed 30 days and will be worked at the times and on the dates determined by the department. The offender may choose between accepting the extra duty or suspension for the number of days recommended.

b. In a written declaration, copies of which will accompany all final reports, the accused must agree to waive both compensation and a Trial Board hearing. When the accused refuses to accept extra duty in lieu of suspension, a definite period of suspension will be recommended. When notified that extra duty has been accepted by the accused, the organizational unit commander of the accused will notify, in writing, the commander of the Personnel Section and Internal Investigation Section when the accused has consummated the penalty.

4. Suspension.

Recommend a specific number of days up to and including 30 days.

5. Removal.

Recommend presentation to the Trail Board for removal.

IV. REPORTING

- A. All pages of reports of investigations and other documents relating to complaint cases will be identified by the control number.

- B. The investigator will forward two copies of all reports and other documents directly to the Internal Investigation Section before reporting off duty, whether the investigation is complete or not.
- C. Each member participating in any way in complaint investigations or having knowledge of the reported incident will, before reporting off duty on the day of his involvement, submit an individual written report to the investigator. The report will be accurate and complete and will include all facts relating to the incident known or reported to him.
- D. Upon completion of the investigation, the final report will:
1. Include the serial number of the accused.
 2. Conclude by classifying the allegation as described in Article III K.
 3. Indicate when the allegation is sustained, the rule number violated, quote the context of the rule, state how the rule was violated and indicate the disciplinary action recommended. When an oral or written reprimand or voluntary surrender of time off in lieu of suspension is recommended, the provisions of Article III M 1, 2, or 3 will be followed.
 4. Be approved by the unit commander assigned the investigation.
- E. The final report will not be delayed because of pending court action.
- F. Sufficient copies of the final report will be prepared to permit:
1. Sending the original copy immediately and directly to the commander of the Inspectional Services Bureau for determining recommended action.
 2. Sending two copies immediately and directly to the Internal Investigation Section.

3. Retaining one copy in the investigator's unit to be destroyed immediately upon final disposition of the case.
4. Forwarding a copy to the office of the mayor on cases referred by that office.
5. Sending a copy of the report to the accused's commanding officer through the commanding officer of the investigator (if he is not also the commanding officer of the accused).

V. SPECIAL PROCEDURES IN COMPLAINT INVESTIGATIONS

A. Indebtedness Complaints

1. The department recognizes that it is a serious transgression for a member of the department to neglect to pay a just indebtedness within a reasonable time. Yet, it is aware also that because of the nature, frequency and varying seriousness and validity of individual complaints of this type, distinct procedures must be established to facilitate investigation or settlement. Therefore, the supervisor or commanding officer first receiving the complaint will inform the complainant that he must address a letter to the Internal Investigation Section. The letter is to contain as much information as the complainant has available as to the identity of the accused, such as name, rank, serial or employee number, unit of assignment, address, etc.
2. The commanding officer of the Internal Investigation Section will make a determination as to the validity of the complaint, and the action to be taken, if any, and place responsibility for the continued investigation when necessary. If further investigation and action is decided upon, a control number will be assigned and the prescribed investigation and reporting procedures will be followed. When a control number is assigned, the investigator will include the following in his report:
 - a. The particulars of the debt
 - b. Its justness

- c. Time overdue
 - d. Number of previous complaints
 - e. Previous disciplinary record
 - f. All other creditors
 - g. Total indebtedness
 - h. Ability to pay
3. A member should not be disciplined for failing or refusing to pay an unjust or disputed debt or usurious interest; a deficiency claim for property repossessed by a vendor unless such deficiency has been reduced to a court judgment after an opportunity for the debtor to appear and contest the claim; or a debt barred by a discharge in bankruptcy or by the statute of limitations. Nor should a member be forced to enter into an arrangement with one creditor which would make it impossible for the member to pay his other creditors a fair and proportionate amount or to support his family reasonably with the necessities of life.
4. Members who repeatedly fail or refuse to pay just debts should be removed from the department. Before instituting action to separate the member, however, he should normally be given a chance to straighten out his affairs through an orderly program for liquidating his indebtedness to all of his creditors. During the period of paying off his creditors, the member should be forbidden by direct order from incurring additional indebtedness except for necessities such as food, current rent and utilities.

B. Brutality Complaints

As a general rule, complaints of brutality should be handled in accordance with the regular provisions of this order. It is recognized, however, that some complaints of "brutality" are made as a defense tactic in the course of the trial of a criminal case. It is

not intended that the department's internal investigative machinery be used for defense purposes. When a complaint of brutality is made in the course of a criminal proceeding, a control number will be issued, statements taken from complainants in private, and the statements together with the complaint forwarded to the commanding officer in whose unit the brutality allegedly occurred. This commanding officer will make a decision as to whether the complaint should be investigated at once or delayed. If a defendant is found guilty and appeals the findings to a higher court because of alleged brutality or some other violation of his civil rights, the prosecutor will be consulted as to further investigation and procedure.

C. Arrest Warrants for Police Officers

When it becomes necessary to request a warrant of arrest against a police officer, the member applying for the warrant will first consult with his nearest commanding officer and notify the Internal Investigation Section which will issue a control number and make a proper assignment of the complaint. If a complainant seeks a warrant against an officer, the commanding officer will consult with the complainant and request the complainant to delay application for the warrant until the police department can investigate. If the complainant declines to delay the request for the warrant, the commanding officer will contact the judge where a request of delay will again be made to allow a thorough investigation of the matter. When a warrant has already been issued against a member of the department, the warrant officer, or other person serving the warrant, will notify the Internal Investigation Section as soon as he ascertains that the accused is a member of the department. The control number will be recorded on the Arrest Report. The foregoing will not apply to warrants for minor traffic violations.

D. Accident Investigations

The investigation of accidents involving department vehicles will not be subject to review by the Trial Board, but copies of all sustained findings will be forwarded to the Internal Investigation Section for record purposes. Where the investigation of an accident involving a department vehicle reveals other misconduct or violations of rules, regulations or orders, these other acts will be investigated in accordance with this order.

E. Firearm Discharge Investigations

The investigation of firearm discharges by department personnel will not be subject to review by the department's Trial Board. All copies of non-justifiable findings will be forwarded to the Internal Investigation Section for records purposes. Where the investigation of the discharge involving department personnel reveals other misconduct or violations of rules, regulations or orders, these other acts will be investigated in accordance with this order.

F. The Polygraph

A member of the department accused of committing a crime may be ordered to take a polygraph test. When the polygraph is used, the accused will be apprised of the questions that the department requests opinion on prior to taking the test. To these questions the polygraph operator may add control questions of his choice, but the text of these control questions and the accused's answers or reactions will not be furnished to the department.

VI. SUMMARY PUNISHMENT FOR LESS SERIOUS TRANSGRESSIONS

- A. This procedure provides for immediate disciplinary action against those members who fail to conform to certain department standards of conduct and appearance. These transgressions do not require a control number and subsequent detailed investigation. Summary punishment may be imposed by the highest ranking officer of the unit or member acting in such capacity.
- B. The transgressions to be covered by this provision are the following:
1. Tardiness in reporting for duty.
 2. Failure to be clean-shaven with hair neatly cut. (A mustache is permissible if neatly trimmed, but sideburns and beards are forbidden.)
 3. Failure to keep uniform clean, pressed and unobtrusively repaired.

4. Failure to wear proper insignia or shoulder patch.
5. Failure to keep uniform clothing buttoned.
6. Failure to wear uniform cap when required.
7. Turning up or rolling sleeves of either summer or winter shirts.
8. Permitting shoes to be unshined, dirty, or worn down at the heels.
9. Failure to wear black socks with the uniform except when the officer has a physician's order requiring that white socks be worn.
10. Failure of uniformed officers to appear in proper attire in court, at inquests, before trial boards, and at other official hearings.
11. Failure to carry and maintain official equipment in good condition.
12. Failure to carry regulation revolver when required.
13. Failure to keep revolver clean and in good condition.
14. Failure to carry revolver in such a manner that it is available for immediate use when required.
15. Wearing holster which extends more than twelve inches below the belt-line.
16. Failure to report back in service immediately on the completion of an assignment.

17. Taking excessive time for lunch (office employees) or for personal reasons.
18. Failure to provide prompt, correct, courteous service.
19. Failure, while on patrol duty, to give full attention to the prevention of crime by:
 - a. Lounging on post;
 - b. Unnecessary visiting with citizens;
 - c. Visiting with other officers except for the exchange of information related to their assignments; or
 - d. Parking in locations and in such a manner as to serve no useful purpose in preventing crime.
20. Transporting persons in a department vehicle except for a proper police purpose or on department business.
21. Congregating, while on patrol, with one or more other officers in an eating establishment.
22. Leaving beat (without authorization) before the prescribed time at the end of the tour of duty.
23. Failure to perform assigned tasks.
24. Possession of a commercial-type radio while on duty.
25. Reading newspapers, etc., in public view.
26. Inattention to duty.

27. Riding with driver in front seat of cruising patrol with prisoners in the rear when there is no real justification for this deviation from a department rule.
 28. Misuse of department equipment or supplies.
 29. Reporting unfit for duty for reasons other than would justify action under other provisions of this order.
 30. Smoking in public while in uniform
 31. Failure of a supervising officer to take appropriate action on observing any of the above derelictions. (Note that an oral reprimand may have been the appropriate action for a supervisor to have taken.)
- C. The summary punishment which may be effected under the provisions of this order is limited to excusing the member for that one day, without pay, where he is unfit for duty, or to requiring the offending member to work one or two regular relief days without compensation.
- D. Discretion will be exercised in the application of this authority, and summary punishment will normally be resorted to only when the offending member has failed to respond to less drastic methods. Care must always be taken to insure that critical assignments are not left uncovered as a result of a summary action.
- E. When a greater penalty is justified, either because of the circumstances or because of the offender's past record, the procedures outlined in this order for complaint investigations will be followed.
- F. Action under this Article will not bar a recommendation for a more severe penalty by higher authority when it is felt that summary punishment is being used to cover a transgression warranting a more severe penalty or dismissal. If a greater penalty results, any summary punishment served will be taken into account in fixing the larger penalty.

- G. When the highest ranking officer of the unit imposes summary punishment under the provisions of this order, he will notify his commander immediately, but he need not notify the Internal Investigation Section nor obtain a control number. No statement need be taken from the offender.
- H. A member who is disciplined under this Article has a right to a hearing before the Trial Board. At the time the punishment is assessed, the offender will be given an opportunity to request a review by the Trial Board, and he must make the request at this time. Late requests will not be heard.
- I. When a member requests a hearing in such a case, a control number will be obtained and all procedures of this order for investigating and proceeding in more serious cases will be followed.
- J. The Trial Board which hears such a case may recommend the same or a greater or lesser penalty for the transgression, or, if the Board finds the penalty was not justified, it may exonerate the member. A member will be reimbursed or given time due for any time excused if the Board exonerates him.
- K. When action is taken under this Article, the commanding officer will immediately forward to the personnel office a written statement concerning the circumstances, action taken, and whether the offender has requested or waived a Trial Board hearing.
- L. Nothing in this Article is meant to take away from a supervisor the prerogative of correcting, admonishing, or reprimanding a subordinate whenever summary punishment is not warranted by the nature or circumstances of the incident.

VII. EMERGENCY SUSPENSION

- A. Any command or supervisory officer has the authority to impose emergency suspension until the next business day against a member or employee when it appears that such action is in the best interest of the department.

- B. A member or employee receiving an emergency suspension shall be required to report to the Internal Investigation Section on the next business day at 9 am unless otherwise directed by competent authority.

- C. The command or supervisory officer imposing or recommending the emergency suspension shall also report to the Internal Investigation Section at that time.

VIII. EFFECTIVE DATE

This order is effective _____, 197__.

(Signed by chief of police)

Distribution:

- All personnel
- All units

I have read the above order and fully understand it.

Signature

Date

FISCAL MANAGEMENT

Review of Concepts in Budgeting

Needless to say, the success of a police department is partly dependent upon the ability of the administration to obtain the men, equipment, buildings, and programs needed to carry out its objectives. Not so obvious, however, is the importance of a sound budget procedure. Cities rarely have enough money to be able to appropriate all of the funds requested by each of the municipal departments, and as a result there is considerable competition for whatever money is available. The department that justifies its requests with indisputable factual arguments is most likely to get what it wants. The legislative body, regardless of its qualifications, appreciates being given the kind of information which it can use to make sound decisions. Deprived of the opportunity to assess the department's programs—and the facts backing up these objectives—the legislative body is much more likely to base its decisions on sentiment, personal relationships, or as reaction to community pressure.

Before going over some of the types of budgeting methods, it would be wise to review the major objectives of the budgeting process:

A. Formulation

1. From the department head's point of view, to obtain the necessary appropriations
2. To help plan the programs of the department
3. From the legislative body's point of view, to control line work programs of the department

B. Execution

1. Accountability—to make sure the appropriation for the budgeted item is not overdrawn
2. As a check on performance and the attainment of objectives during the course of the year

Depending upon its form, a budget system can achieve all or just one or two of these objectives. The most commonly encountered systems are shown in Table 1. The most common of these is the object—or line item—budget. In its most typical and simple form it divides the appropriation into three categories: Salaries, Operating Expenses, and Capital Outlay. Under this system, the salary section is very often broken down into full-time versus part-time employees, or a listing of each rank. The operating expenses section in its simplest form is a lump sum reflecting the past year's expenditures and in some cases an "across-the-board" estimate of the probable increase in costs for the next year. In its most commonly encountered form, this section of an object budget is broken down into several categories as shown in Table 2 with sub-object headings such as "Office Supplies," "Travel," "Utility Services," "Repairs," and so on. In other variations (the true line item budget), each category of expense is shown on a separate line and the amount for that line is entered in columns along the right-hand side of the budget document. For example, under "Office Supplies" an item for "Paper" and "Pencils" will be found, ad infinitum. The capital outlay section of a object budget usually consists of a listing of each of the capital items to be purchased along with its price.

Even though object budgeting may be accompanied by detailed explanations of new and existing expenditures, it is basically unsatisfactory because it is not designed to achieve all of the objectives previously mentioned. It has only fair value for program formulation, and is good only as a means (and only in its more detailed forms) of establishing accountability during the execution of the budget.

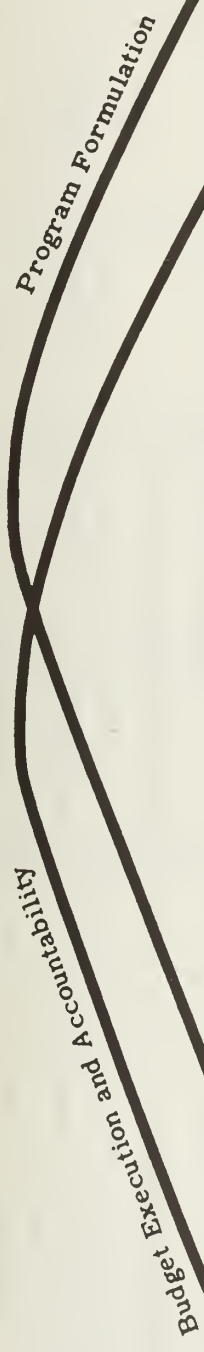
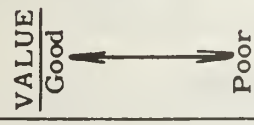
A departmental budget attempts to classify proposed expenses by department or division. Column 2 of Table 1 shows some of the typical descriptive headings given in a departmental budget: Patrol Division, Traffic Division, Records and Communications Divisions, and so forth. A pure and simple departmental budget is not often encountered, but a combination of departmental and object budgeting, as shown in Column 3, can be a very effective system. When the legislative body cuts this budget, it must decrease the salaries or operating expenses of some specific unit within the department.

The performance budget focuses attention even more on the services to be performed and on the proposed programs. In reality, it is an extension of the object budget which includes information relating to programs and performance. Column 4 illustrates a combination of performance and object categories. This is an excellent system with good balance. The method recommended by IACP is essentially what is shown in Column 4, but with the addition of divisional breakdowns. The true performance budget seeks to establish unit costs for various activities. We recommend this goal, but since achievement of unit costs is difficult, we should really describe the proposed system as a detailed program budget. (As far as we know, there are no major departments in the United States with pure performance budgeting systems in operation.)

A program budget is usually considered to be a less detailed form of a performance budget, and the only significant difference is that descriptive headings are broader. In fact, the terms performance and program are often used interchangeably. The program budget by itself, listing the major programs of the department such as "Patrol Service," "Traffic Regulation," and so on, is valuable as a means of formulation but has diminishing accountability unless object and divisional categories are retained.

TABLE 1

COMPARISON OF BUDGETING SYSTEMS



Type	1	2	3	4	5	6	7
<u>Purposes and Usefulness</u>	<u>Object (Line-Item)</u>	<u>Departmental</u>	<u>Object, with Departmental Breakdown</u>	<u>Performance (Program) and Object Combination</u>	<u>Performance</u>	<u>Program</u>	<u>Functional</u>
	Fair for execution and accountability	Fair for execution and accountability plus some program formulation	Best for execution and accountability, plus good program formulation	Best balance; execution and accountability good, program formulation good	Good program formulation, good accountability	Good program formulation, fair for execution and accountability	Fair for program formulation
<u>Typical Descriptive Headings Found in Budget Document</u>	I. Salaries II. Operating Expense III. Capital Outlay	A. Patrol Division B. Traffic Division C. Central Records & Communications Division D. Etc.	I. Salaries A. Patrol Div. B. Traffic Division C. Etc. II. Op. Exp. A. Patrol Div. B. Traffic C. Etc. III. Capital Outlay, etc.	I. Salaries A. Patrol Service 1. Store Security 2. Routine Patrol, etc. B. Traffic Regulation 1. Parking Control 2. Accident Invest. 3. Etc. II. Op. Exp. etc.	A. Patrol Service 1. Store Security 2. Routine Patrol, etc. B. Traffic Regulation 1. Parking Control 2. Accident Invest. 3. Etc.	A. Patrol Service B. Traffic Regulation C. Investigations D. Etc.	Protection of Persons and Property

TABLE 2

TYPICAL OBJECT BUDGET

CODE	DEPARTMENT	DIVISION	CLASSIFICATION	ACCOUNT TITLE	ACCOUNT NUMBER		SUMMARY			
					Operating	Operating	ORIGINAL BUDGET 1966	ADJUSTED BUDGET 1966	DEPARTMENT REQUEST 1967	MANAGER RECOMMENDS 1967
11	Police	Operating	PERSONAL SERVICES	Salaries	783,100	797,100	797,100	934,690	888,830	952,280
12				Overtime	14,000		5,200	5,200	5,200	5,200
				Total	797,100	797,100	939,890	894,030	957,480	
21	CONTRACTUAL	Operating	CONTRACTUAL	Advertising	600	600	600	600	600	600
22				Contracted Services	7,000	7,000	10,570			
23				Utility Services	9,500	9,500	11,060	11,060	11,060	
24				Insurance and Employee Benefits	2,000					
25				Rentals	72,000	72,000	95,380	86,180	86,180	
27				Repairs	900	900	1,200	8,340	8,340	
29				Travel, Dues and Subscriptions	1,500	1,500	2,800	3,800	3,800	
	Total	93,500	91,500	121,610	109,980	109,980				
31	SUPPLIES	Operating	SUPPLIES	Materials	7,500	7,500	7,500	8,400	8,400	8,400
35				Household and Janitorial	9,750	9,750	11,000	11,000	11,000	
36				Office Supplies, Postage and Printed Forms	2,500	3,900	7,660	7,660	7,660	
39				Small Tools						
	Total	19,750	21,150	27,060	27,060	27,060				
40	OTHER CHARGES	Operating	OTHER CHARGES	Unclassified	1,000	1,000	1,000	1,000	1,000	1,000
41										
42				Contribution to Garage						
43										
44										
	Total	1,000	1,000	1,000	1,000	1,000				
83	CAPITAL - Equipment	Operating	CAPITAL - Equipment		2,250	2,850	5,400	6,400	6,400	
84				Total	913,600	913,600	1,094,960	1,047,670	1,111,120	
60	Less Charges to Others									
	Total Operating Budget	913,600	913,600	1,094,960	1,047,670	1,111,120				

DEPARTMENT	DIVISION	ACCOUNT TITLE	ACCOUNT NUMBER	DETAIL
Police	Operations	Operations	1220	
<p>The Anchorage Police Department faces a crisis. The crime and accident rates have increased far more than has the number of police officers available to cope with the problem. The tragedy of this situation cannot be conveyed by statistics, but the charts on the following pages show the outlines of the problem.</p> <p>In sum, the police problem facing Anchorage has overwhelmed the force.</p>				
<u>Category</u>				
			<u>Increase - 1961 to 1965</u>	
Part I Crimes Reported			91 %	
Requests for Police Services			45 %	
Traffic Accidents			25 %	
Uniformed Police Personnel			22 %	
<p>The additional personnel requested for 1967 will be used as follows:</p> <p><u>Patrol Bureau</u> - A survey of police calls in the Central Business District showed that this area should be divided into two patrol districts. Six of the additional patrol officers would be assigned to this area. Three of the additional officers would be assigned to investigative duty in the downtown area, thus reducing the load upon the Investigation Bureau.</p> <p><u>Investigation Bureau</u> - The heavy case load in this bureau requires the addition of two investigators. They will be selected from among the patrolmen on an incentive basis. The possible rotation between patrolmen and investigators will increase the experience of each and provide a work incentive for both the investigators and the patrolmen.</p> <p><u>Records Bureau</u> - A new records program has been adopted in which each patrolman carries a small dictating machine to dictate his accident reports, crime reports and daily reports. The reports are then transcribed by the typists. This procedure will reduce the overtime required of officers and streamline the operations of the Records Bureau.</p> <p><u>Juvenile Bureau</u> - This bureau will expand its informational program by publishing a booklet for school-age children, operating the Police Speaking Tour in the elementary schools, expanding this tour to the junior and senior high schools, administering the Big Brother Organization, speaking to junior high students on the use of alcohol, distributing posters to the elementary schools on child molestation prevention, continuing the Youth Jury and providing public information through the "Through the Eyes of the Law" program and the morning traffic reports.</p> <p><u>Traffic, Training and Personnel Bureau</u> - The bureau hopes to increase the in-service training offered the Department's officers. The additional 13 employees will require extra training efforts. The traffic officers will continue their selective radar program and give lectures in the Anchorage schools on traffic safety.</p>				

Finally, there is the functional budget, the exact opposite of the line item budget, which has limited value for program formulation but practically none for execution and responsibility.

Adopting the Program or Performance Budget

Ever since the Hoover Commission first coined the term "performance budgeting," there has been a marked increase in the use of the concept at all levels of government. While the system is especially applicable to larger agencies with well-developed accounting procedures, the principles can be adopted to any size city.

Adoption of a performance budgeting system demands cooperation, patience and coordination. For example, the research and development unit of a department should assist in developing an analysis of programs and activities for the city fiscal officer. Police employees and legislators alike must understand the objectives and advantages of the system.

The program budget does not eliminate the need for detailed written justifications in support of the budget. In fact, written statements justifying the budget make better sense with the program concept than the line item system. Occasionally, the program budget is criticized by legislative bodies when the programs are stated too broadly, without divisional or activity breakdown, or without written justifications when they are appropriate. According to its advocates in other areas of government, the program budget actually improves legislative-executive relationships, and promotes better planning, better public relations, improved decision-making, and an overall improvement in efficiency and economy. Finally, the system makes it possible to adopt a method of reporting which compares actual accomplishments with the budget plan. Monthly reports can be presented in terms of accomplishments in addition to dollar figures. Also, program budgeting is sometimes opposed because of installation and operating cost, but if the agency already has data processing facilities, this objection can be minimized. Small departments without data processing equipment can contract with a data processing service agency for handling the program budgeting documents and providing the department with the appropriate reports at nominal cost.

Development of the System. In the first year, we recommend the preparation of usual estimates and budget documents. The program for many appropriations will have to be estimated. Estimates with a marginal error of up to 10 percent will probably occur and should be expected. During each succeeding year's budgeting, however, it will be possible to refine estimates even more. At the end of five years, budgeting by major program should be made more accurate and program costs clearly identifiable.

Each appropriation or allotment should be identified by object and by program code. Naturally, some expenditures will apply to more than one program, and in this very likely event, an estimate of the cost for each program should be given a separate entry into the data bank. For example, a certain percentage of the salary portion of the budget should be earmarked for the patrol force, and part of that in turn should be earmarked for crime prevention and suppression—one of the key programs. How much of the actual output will prove to be spent for crime prevention and suppression can only be resolved when the budget is actually placed into operation.

During execution, each expenditure (including salary expenditure) should show the same sort of coding—that is, by department and division, by object, and finally by program. Table 3 gives an illustration of the recommended code numbering system. It should be stressed that the numbers are illustrative only, and that a similar system can be developed which should be compatible with the city's account numbering system.

A key device in successful program budgeting in a police agency is the use of a detailed Daily Activity Report. This is the only means by which personnel time can be identified by program and activity. Each member of the department below the rank of chief should complete the Daily Activity Report (shown herein) or have it completed for him for every day he has worked. After supervisory review, reports should be summarized and information stored in the data bank. Information extracted from the report will be used in part for the preparation of the Consolidated Daily Report.

A summary report form has been designed to show the status of the budget by object and program and is illustrated herein. This 2-page form is intended to show the status of the budget both by object and then by program. Ultimately, this form should be modified by the addition of program activities shown in the suggested code numbering guide. When this has been done, another column can be added to the right-hand margin of the form to show unit cost for many of these activities. The budget summary statement should be prepared monthly, semi-annually and annually. Semi-annual statements (as well as statements for previous years after the system is in operation), will, of course, be instrumental in preparing the next budget.

In the second year of operation, the department will not have to estimate program cost by pure guesswork. Personnel working on the budget will have a series of monthly statements from which they can prorate annual cost estimates for the next budget.

Execution of the budget during the second year will also be more accurate than the first year's experience. After about three years, the department should expect refinement and accuracy of program estimates. The budget should then serve as a planning device which translates programs into personnel, space, and equipment requirements and a reasonably accurate projection of the amount of money involved.

Responsibility for the Budget. We strongly urge that unit commanders be brought into the budgeting process in the earliest planning stages. Their ideas and proposals should be carefully considered in the preliminary development of the budget. Division commanders should, of course, have some responsibility for control of budget expenditures for their unit, and also for submitting new or modified program and activity proposals. Commanders should submit their estimates to the administration shortly before the development of the formal budget document.

A great part of the budget planning and development work in the first year should be assumed by the planning officer or unit.

TABLE 3

PROGRAM BUDGET CODING

Key to Code Numbering

Department and Bureau	Branch and Division or Section	Object	Program
14 Public Safety - Police	10 Chief's Office	100 PERSONAL SERVICES	100 CRIME PREVENTION AND SUPPRESSION - General
15 Public Safety - Fire	11 Research and Development	101 Salaries - Permanent Employees	110 Preventive Patrol
16 Public Safety - Communications, etc.	20 Operations Office	102 Overtime	120 Security Inspections
	21 Patrol Division	103 Salaries - Temporary Employees	130 Vacation House Inspections
	22 Investigation Division	104 Salaries - Part-time	140 Field Contacts
	23 Traffic Division	105 Fees for Services	150 Security Escorts
	24 Special Operations Division	106 Reserved for future use	160 Crime Prevention Programs (Security Oriented)
	30 Administrative Services Office	200 OPERATING EXPENSES	170 Crime Prevention (Treatment Oriented)
	31 Community Relations Division	201 Office Supplies and Forms	180 Alarm Program
	32 Personnel Division	202 Postage	200 INVESTIGATION AND APPREHENSION - General
	33 Training Division	203 Telephone and Teletype	210 Crimes Against Persons
	34 Systems and Procedures Division	204 Membership Dues	220 Crimes Against Property
	40 Technical Services Office	205 Travel and Subsistence	230 Vice Offenses
	41 Central Records Division	206 Special Departmental Supplies and Equipment	240 Traffic Crime Investigations
	42 Communications Division	207 Vehicle Maintenance and Repair	250 Crimes Against Public Peace and Order
	43 Data Processing Division	208 Gas, Oil and Lubricants	251 Drunkenness
	44 Property Division	209 Equipment Maintenance and Repair	252 Disorderly Conduct, Disturbing the Peace
	50 Inspectional Services Office	210 Uniforms and Personal Power	253 Nuisance Offenses
	51 Internal Investigation Division	211 Lighting, Heating, Cooling, Power	260 Miscellaneous Health, Welfare and Safety Offenses
	52 Inspections Division	213 Rent	300 MOVEMENT AND CONTROL OF TRAFFIC - General
	53 Intelligence Division	214 Building Maintenance	310 Traffic Patrol
	54 Vice Control Division	215 Insurance	320 Accident Investigation - Fatal and Injury
		300 CAPITAL EXPENDITURES	321 Accident Investigation - Major Property Damage
		301 Furniture	322 Accident Investigation - Minor Property Damage
		302 Office Equipment or Machines	330 Hazardous Moving Violation Enforcement
		303 Special Departmental Equipment or Machines	331 Non-Hazardous Violation Enforcement
		304 Vehicles	332 Parking Control and Enforcement
		305 Building and Renovation	340 Fires, Fire Alarms
			350 Escorts
			360 Traffic Regulation
			361 Traffic Point Control
			362 Traffic Signing and Signaling
			363 Traffic Engineering and Flow
			370 School Crossing Program
			380 Traffic Safety Education
			400 MAINTENANCE OF PUBLIC ORDER - General
			410 Parades
			420 Special Event Coverage
			430 Civil Disturbances
			440 Police Reserve Program
			450 Civil Defense Program
			500 PUBLIC AND EMERGENCY SERVICES - General
			510 Emergency Assistance and Rescue
			511 Ambulance Service
			520 Animal Control
			530 Missing Persons Investigations
			540 Lost and Found Property Control
			541 Abandoned Auto Control
			550 Permits and Licenses
			551 Taxi Inspection and Licensing
			560 Other Non-Criminal Investigations
			(In general, the balance of the categories shown here are intended for non-assignable and non-operational activities.)
			600 ADMINISTRATIVE SERVICES - General
			610 Direction and Supervision
			620 Planning and Data Processing
			630 Inspection
			640 Internal Investigation
			650 Community Relations
			660 Personnel Management
			670 Training
			680 Fiscal Affairs
			700 TECHNICAL SERVICES - General
			710 Central Records Activities
			720 Communications
			730 Property Control
			740 Crime Laboratory Services
			741 Photo and I. D. Services
			750 Custody of Prisoners

OUTPUT: 1421 - 101 - 210 Sample code obtained by processing an Officer's Daily Activity Report. Data bank entries will then show the code number, cost (computed from the hours worked on this activity multiplied by the officer's hourly rate) and date.

INPUT: 1421 - 101 - 200 Sample code applied to input—in this case a salary appropriation statement. Part of the salary appropriation should be allocated to various programs, using the best available estimates. In the first year of operation in a program budget, estimates of + 10 percent will be entirely satisfactory.

Every transaction (both input and output) should carry appropriate coding by means of numbers showing both Object and Program designations whenever possible.

DAILY ACTIVITY REPORT

NAME (Last)		First	Init.	SERIAL No.	ODOMETER READING
DATE	DAY	VEHICLE No.		FINISH	
SHIFT	BEAT	ASSIGNMENT		START	TOTAL MILES

(100) CRIME PREVENTION/SUPPRESSION	INIT. INV.	SUPP. INV.	ASSIST.
(110) PREVENTIVE PATROL			
(120) SECURITY INSPECTIONS			
(130) VAC'N HOUSE INSPECTIONS			
(140) FIELD CONTACTS			
(150) SECURITY ESCORTS			
(160) CRIME PREVENTION PROGRAMS (SECURITY ORIENTED)			
(170) CRIME PREVENTION PROGRAMS (TREATMENT ORIENTED)			
(180) ALARM PROGRAM			
SUBTOTAL			

(200) INVESTIGATION/APPREHENSION	INIT. INV.	SUPP. INV.	ASSIST.
(210) CRIMES AGAINST PERSONS			
(220) CRIMES AGAINST PROPERTY			
(230) VICE OFFENSES			
(240) TRAFFIC CRIME INVEST'NS			
(250) CRIMES AGAINST PUBLIC PEACE AND ORDER			
(251) DRUNKENNESS			
(252) DISORDERLY CONDUCT DISTURBING THE PEACE			
(253) NUISANCE OFFENSES			
(260) MISC. HEALTH, WELFARE AND SAFETY OFFENSES			
SUBTOTAL			

(300) MOVEMENT/CONTROL OF TRAFFIC	INIT. INV.	SUPP. INV.	ASSIST.
(310) TRAFFIC PATROL			
(320) ACCIDENT INVEST FATAL & INJURY			
(321) ACCIDENT INVEST			
(322) MAJOR PROPERTY DAMAGE			
(323) MINOR PROPERTY DAMAGE			
(330) HAZARDOUS MOVING VIOLATIONS			
(331) NON HAZARDOUS VIOLATIONS			
(332) PARKING CONTROL & ENFORCEMENT			
(340) FIRES, FIRE ALARMS			
(350) ESCORTS			
(360) TRAFFIC REGULATION			
(361) TRAFFIC POINT CONTROL			
(362) TRAFFIC SIGNING & SIGNALING			
(363) TRAFFIC ENGINEERING AND FLOW			
(370) SCHOOL CROSSING PROGRAM			
(380) TRAFFIC SAFETY EDUCATION			
SUBTOTAL			

(500) PUBLIC & EMERGENCY SERVICES	INIT. INV.	SUPP. INV.	ASSIST.
(510) EMERGENCY ASSIST & RESCUE			
(511) AMBULANCE SERVICE			
(520) ANIMAL CONTROL			
(530) MISSING PERSONS INVEST'NS			
(540) LOST & FOUND PROPERTY			
(541) ABANDONEO AUTO CONTROL			
(550) PERMITS AND LICENSES			
(551) TAXI INSPECTION AND LICENSING			
(560) OTHER NON CRIMINAL INVEST'NS OUTSIDE WARRANTS			
(570) AND SUBPOENAS			
SUBTOTAL			

(600) ADMINISTRATIVE SERVICES	INIT. INV.	SUPP. INV.	ASSIST.
(610) DIRECTION AND SUPERVISION			
(620) PLANNING & DATA PROCESSING			
(630) INSPECTION			
(640) INTERNAL INVESTIGATION			
(650) COMMUNITY RELATIONS			
(660) PERSONNEL MANAGEMENT			
(670) TRAINING			
(680) FISCAL AFFAIRS			
SUBTOTAL			

SPECIAL PROGRAM ANALYSIS	INIT. INV.	SUPP. INV.	ASSIST.
() JUVENILE INVESTIGATION			
() TRANSPORTATION AND BOOKING OF PRISONERS			
() WARRANT AND SUBPOENA SERVICE FOR LOCAL CASES			
() SPECIAL SERVICE CASES			
NOTE: DO NOT INCLUDE SUBTOTAL FOR THIS BLOCK ON REVERSE SIDE OF FORM			

(700) TECHNICAL SERVICES	INIT. INV.	SUPP. INV.	ASSIST.
(710) CENTRAL RECORDS ACTIVITIES			
(720) COMMUNICATIONS			
(730) PROPERTY CONTROL			
(740) CRIME LABORATORY SERVICES			
(741) PHOTO & I.D. SERVICES			
(750) CUSTODY OF PRISONERS			
SUBTOTAL			

(800) MAINTENANCE OF PUBLIC ORDER	INIT. INV.	SUPP. INV.	ASSIST.
(410) PARADES			
(420) SPECIAL EVENT COVERAGE			
(430) CIVIL DISTURBANCES			
(440) POLICE RESERVE PROGRAM			
(450) CIVIL DEFENSE PROGRAM			
SUBTOTAL			

TIME IS TO BE RECORDED IN HOURS TO THE NEAREST 5 MINUTES.

ACTIVITIES LOG: RECORD ALL ACTIVITIES WHICH ARE NOT ACTUAL PREVENTIVE PATROL AND OBSERVATION

TIME SPAN	CASE NO.	INIT. INV.	SUPP. INV.	ASSIST.	ACTIVITY AND LOCATION	TIME

VEHICLE AND EQUIPMENT INSPECTION
 (200) GAS (200) OIL

REMARKS ON CONDITION OF VEHICLE, CLEARLINESS, SAFETY, EQUIPMENT, NEED FOR REPAIRS.

SUPERVISORS APPROVAL OF DAILY ACTIVITY REPORT SERIAL NO.

COURT TIME	
ON DUTY	TIME
OFF DUTY	TIME

CASE NUMBERS AND CHARGE

CERTIFYING OFFICER

TOTAL HOURS WORKED INCLUDING OVERTIME - (EXCEPT COURT TIME)

TOTAL ACTIVITY HOURS INCLUDING OVERTIME (EXCEPT COURT TIME)

TOTAL PREVENTIVE PATROL HOURS

PROGRAM BUDGET SUMMARY

Date prepared _____ From _____ To _____ 19 ____ Year
 (Inclusive months)

Approved by _____
 Semi-Annual Summary
 Annual Summary for Fiscal Year Ending _____ Month _____ 19 ____ Year

COSTS BY PROGRAM

SUMMARY	Crime Prevention / Suppression Code a		Investigation / Apprehension Code e		Traffic Movement / Control Code z		Maintenance of Public Order Code z		Public and Emergency Services Code z		Administrative Services Code b		Technical Services Code v		TOTAL COST YEAR TO DATE	APPROPRIATIONS	UNENCUMBERED BALANCE	PROJECTIONS* COMING YEAR
	Report Period	Year To Date	Report Period	Year To Date	Report Period	Year To Date	Report Period	Year To Date	Report Period	Year To Date	Report Period	Year To Date	Report Period	Year To Date				
OBJECT CODE *																		
Personal Services																		
Operating Expenses																		
Capital Expenditures																		
TOTAL BY PROGRAM																		

TIME DEVOTED BY PROGRAM (Recorded by 100ths of hours)

PERSONNEL TIME	Crime Prevention / Suppression Code a		Investigation / Apprehension Code z		Traffic Movement / Control Code z		Maintenance of Public Order Code z		Public and Emergency Services Code z		Administrative Services Code b		Technical Services Code v		Code b	Code c	Code d	Code e	Code f
	Report Period	Year To Date	Report Period	Year To Date	Report Period	Year To Date	Report Period	Year To Date	Report Period	Year To Date	Report Period	Year To Date	Report Period	Year To Date					
Regular Hours Worked																			
Paid Overtime																			
Compensatory Time (Non-Holiday)																			
Court Time on Duty																			
Court Time Off Duty																			
TOTAL																			

*If desired, projections may be extended for several years.

General Order _____

Index as:

Accounting Procedures, Equipment
Assets, Capital Inventory Procedures
Capital Assets Inventory Procedures
Equipment Accounting Procedures
Transfer of Equipment

CAPITAL ASSET INVENTORY PROCEDURES

The purpose of this order is to establish inventory control procedures for all departmental capital assets. (Furniture, fixtures and equipment).

I. DEPARTMENTAL CAPITAL ASSETS DEFINED

A. A departmental capital asset is defined as an item (furniture, fixture or piece of equipment) which satisfies one of the following conditions:

1. The original cost must have been at least \$50.00.
2. The estimated life at the time of purchase must have been at least three years.

II. MAINTENANCE OF INVENTORY CONTROL

A. The Fiscal and Property Management Division shall maintain an inventory control of all departmental capital assets. They shall exercise this control by:

1. Recording all newly acquired and transferred capital assets in the possession of the department on the Capital Asset Record.
2. Forwarding all completed forms to the data processing center for processing.

B. The Fiscal and Property Management Division shall adhere to procedures adopted by the appropriate county office when conducting an inventory and shall complete such reports as may be required.

III. ACQUISITION OF NEW EQUIPMENT

- A. Commanding officers of organizational units shall immediately notify the Fiscal and Property Management Division of each newly acquired item of capital asset received in their unit.
- B. The Fiscal and Property Management Division shall complete a Capital Asset Record for each item.
- C. The completed form shall be forwarded to the data processing center.

IV. TRANSFER OF EQUIPMENT

- A. Capital asset items shall not be transferred from one division or independent section to another without the prior approval of the chief of police. Organizational unit commanders desiring such approval shall write a letter through channels to the chief's office, identifying the item(s) to be transferred and justifying the reason therefor.
- B. Commanding officers of organizational units shall immediately notify the Fiscal and Property Management Division of each item of capital asset transferred to another unit.
- C. The Fiscal and Property Management Division shall:
 - 1. Telephone the receiving unit to verify their receipt of the equipment.
 - 2. Complete a Capital Asset Record as follows:
 - a. Under "unit assigned" write the name of the receiving unit.
 - b. Note on the back of the form: "transferred from _____ Division on _____ (date) _____."
 - c. Complete the remaining boxes with as much information as possible.
 - 3. Forward the completed form to the data processing center.

V. INVENTORY PROCEDURES

- A. An annual inventory shall be accomplished as follows:
 - 1. The data processing center shall produce annually an inventory list for each organizational unit, listing all capital assets assigned to that unit.

2. Each organizational unit commander shall compare the inventory list with the equipment actually in his custody. Needed adjustments shall be made as follows:
 - a. Add to the list any items actually in the custody of the unit that were missing from the list.
 - b. Note on the list as "missing" or "transferred to other units" any items that are not actually in the custody of the unit.
 - c. Correct the list to reflect changes in room number, inventory number, description, condition or usage.
 - d. Forward the list to the Fiscal and Property Management Division within two weeks of receipt of inventory list.
3. The Fiscal and Property Management Division shall review and compare all inventory lists received from organizational unit commanders to determine the correct location or status of all capital assets.

The Fiscal and Property Management Division shall complete and code a new Capital Assets Record for each item that has changed in location or status and forward the new reports to the data processing center within two weeks.

4. The data processing center shall produce revised inventory lists and forward them to the organizational unit for filing.

B. Change of Command Inventory Procedures.

1. Whenever an organizational unit change of command occurs, the data processing center shall produce a list of that unit's capital assets and forward the list to the new commanding officer.
2. Within seven days after receiving the statistical run, the new commanding officer shall conduct an inventory in the same manner as an annual inventory (Part V, A.).
3. The Fiscal and Property Management Division and data processing center shall follow the same procedures required for the annual inventory (Part V, A.).

STATE OF DELAWARE

DEPARTMENT OF PUBLIC SAFETY

DIVISION OF STATE POLICE

News Media Relations
and

Public Information Policy

Portions of this manual have been adopted from the Policy Manual of the Los Angeles Police Department, 1972, to meet Delaware State Police requirements.

PUBLIC SAFETY DEPARTMENT POLICY

The Public Safety Department and its divisions recognize the right of the public to be fully and accurately informed on all matters concerning the public safety, and that the news media is responsible for providing this information to the public. The policy of the Public Safety Department, therefore, shall be to maintain a relationship with the members of the news media that is built on trust, cooperation, and mutual respect and, one which will generate a free flow of information between the various divisions of the Department and the news media. To accomplish this, the Department, when requested, will provide complete and accurate information, within legal and investigatory limitations, as quickly as practicable, to all accredited media representatives. The news media representatives, not the Department personnel, shall judge whether or not the information is newsworthy.

To facilitate the accurate flow of information to the news media for dissemination to the general public, the State Police Community Relations and Public Information Officer shall coordinate the release of all general information concerning Divisional policy and operations, as well as specific statements on controversial issues that might arise concerning the police. In order to provide rapid and consistent responses to inquiries, general day-to-day information concerning Division operations affecting the public may be released to the news media only by the Division Directors or their designees.

No employee of the Public Safety Department is authorized to release to the news media and/or public any confidential or investigatory information contained in Department or Division files, unless authorized in writing to do so by the Secretary of Public Safety, or in the case of Division files, the appropriate Division Director.

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DELAWARE STATE POLICE
NEWS MEDIA RELATIONS AND PUBLIC INFORMATION POLICY

NEWS MEDIA RELATIONS

NMR1. GENERAL PROVISIONS. The Division's goal is a maximum flow of information to the public through press, radio, and television services with a minimum disruption of police activity. The public is very much interested in police activities. A police department, which fails to provide complete information, will not achieve good public relations. The public depends on press, radio, and television news service to provide information, and the Delaware State Police cannot operate apart from the public view.

Every member of the Division must deal fairly with newsmen, operate openly, and allow the reporter to be the judge of what represents news for the public. Members should have the necessary and proper liaison with press representatives in each troop installation area so that we may provide them with proper service and for them to understand our problems.

From time to time, complaints are received at Headquarters that information covering routine investigations, such as automobile, railroad, and airplane accidents, weather conditions, criminal cases closed by arrest, and various routine police procedures, have been withheld from the press, radio, or television services. Most matters handled by the State Police are not secret and will become public eventually, so every effort should be made within the limits of these guidelines to cooperate with the news media to facilitate the prompt release of factual information. If a matter is such that publicity might be detrimental or defeat the ends of justice, the news inquiry should be directed to the Troop Commander and Community Relations and Public Information Officer.

NMR2. ROLE OF THE NEWS MEDIA. A well-informed public is essential to the existence of a democratic nation. To effectively exercise his franchise, a citizen must be aware of current events and the state of government. A free press serves the public by supplying needed information by stimulating thought, and by providing a medium for expression.

Crime, its results, and the efforts to combat it are all matters of continuing public concern. The Division is regularly involved in events at which members of the news media are properly present and performing their task of gathering information.

NMR3. ROLE OF THE STATE POLICE. The State Police actively seeks to establish a cooperative climate in which the news media may obtain information on matters of public interest in a manner which does not hamper police operations. However, certain information must be withheld from the news media in order to protect the constitutional rights of an accused, to avoid interfering with a Department investigation, or because it is legally privileged.

NMR4. NEWS RELEASE POLICY. The Division recognizes the right of the public to be fully and accurately informed on all matters of public safety, and that the news media is responsible for providing this information to the public. The policy of the Division, therefore, shall be to maintain a relationship with the members of the news media that is built on trust, cooperation, and mutual respect and one which will generate a free flow of information between the Department and the news media. To accomplish this, the Division, when requested, will provide complete and accurate information, within legal and investigatory limitations, as quickly as practicable, to all accredited media representatives. These representatives shall judge whether or not the information is newsworthy.

NMR5. NEWS MEDIA IDENTIFICATION. To assure that the Delaware State Police is communicating with an authorized news media representative at the scene of a police incident, and to assure the representative that he will not be unnecessarily obstructed in the pursuit of his functions, the State Police issues and honors news media passes.

Identification cards shall be issued to only full time representatives of the news media, who maintain regular news services in Delaware and which are legitimate current news disseminators. These cards will identify the bearer as a representative of the news media and do not entitle the holder to special privileges. Members of the Division will extend, within the guidelines of this policy, all reasonable assistance and cooperation to holders of the News Media Identification, who are in pursuit of their news gathering duties.

1. Issuing credentials to news media representatives shall be the joint responsibility of the Superintendent of State Police and the Community Relations and Public Information Officer. News media credentials may be revoked for just cause, after consultation with the holder's employers.
2. State Police News Media Identification Cards shall be issued only after application is made, in writing, to the Community Relations and Public Information Officer on the official letterhead of the requesting press, radio, or television media agency. The request should include the full name of the representative.
 - A. Identification Cards will be issued, upon proper application, any time during the year.
 - B. All Identification cards, regardless of when issued, however, will expire at midnight, December 31, of the year in which issued.
3. Upon receipt of written application for issuance of a News Media Identification Card, the State Police Community Relations and Public Information Officer will prepare the card and return it to the requesting agency for distribution.

NMR6. ALLOWING NEWSMEN TO ENTER AREA OF A SERIOUS POLICE INCIDENT OR CRIME. Police lines may be established to prevent persons from entering the area of a serious police incident or crime scene. Dependent upon the tactical situation and the likelihood of jeopardizing police operations, members of the news media may be allowed in such areas. Authorization for entry is normally dependent upon the possession of a permanent or temporary State Police issued news media pass. However, if the State Police is not issuing temporary passes or does not have the present capability of issuing temporary passes at the scene, and the opportunity of obtaining news coverage appears to be limited in duration, a news media pass issued by another law enforcement agency may be recognized.

NMR7. WHERE A NEWSMAN IS NOT AUTHORIZED. While a newsman may be permitted in the area of a crime scene or a serious police incident, he does not have the authority to be within a crime scene or area which has been secured to preserve evidence or at any location where his presence jeopardizes police operations.

NMR8. NEWS MEDIA NOT EXEMPT FROM LAWS. A newsman's primary responsibility is to report the news by obtaining information and photographs at newsworthy incidents. His opportunity to do so is frequently momentary at an emergency scene. An officer, sharing these circumstances with a newsman, should not unnecessarily obstruct the newsman in the performance of his duty. However, members of the news media are neither impliedly nor expressly exempt from any municipal, state, or federal statute.

NMR9. REQUESTING WITHHOLDING OF PUBLICATION. Newsmen may photograph or report anything they observe when legally present at an emergency scene. Where publication of such coverage would interfere with an official investigation or place a victim, suspect, or others in jeopardy, the withholding of publication is dependent upon a cooperative press, not upon censorship by the Department. Upon such circumstances, officers should advise the newsmen or their superiors of the possible consequences of publication. However, officers may not interfere with newsmen's activities as long as that performance remains within the confines of the law.

NMR10. RESPONSIBILITY FOR THE RELEASE OF INFORMATION.

1. General. All members will ensure that any information which may be released to the news media:
 - A. Is accurate.
 - B. Does not interfere with the successful conclusion of an investigation, or pose a security threat upon a person involved.
 - C. Is not prejudicial to the rights of the suspect or accused.
 - D. Is in accordance with the provisions set forth in this Public Relations Manual and is not otherwise restrained by these guidelines or other Division or Departmental policy or General Orders

2. State Police Community Relations and Public Information Officer. The responsibilities of the Community Relations and Public Information Officer:
 - A. The release of information affecting the Division and any statements concerning Division policies which emanate from the Headquarters level or from the scene of major incidents in the field.
 - B. Performing duties as outlined in the Delaware Emergency Operations Plan and/or State Police Civil Disturbance Manual.
 - C. Assisting Headquarters Staff, Troop Commanders and Shift Commanders with any problem that may be encountered in dealing with the news media.
 - D. Provide an official liaison relationship between representatives of the news media and the Division.
 - E. Serve as coordinator for all Public Information-Education, Community Relations and Public Relations activities of the Division.
3. Troop Commander. The responsibilities of the Troop Commander shall include:
 - A. Serving as, or appointing a Commissioned Officer to serve as, the Public Information Officer in the event a major incident occurs in troop area that is likely to generate more than routine news interest.
 - B. Furnishing information to the Division's Public Information Officer regarding major incidents that are likely to generate more than routine news interest.
 - C. Establishing and maintaining a good rapport and working relationship with members of the news media within his troop area.
4. Troop Shift Commanders, Special Units and Section Chiefs. Troop Shift Commanders, Special Units, and Section Chiefs shall be responsible for the release of routine news information from their respective troops and offices.
 - A. It shall be the Troop Shift Commander's responsibility to see that a News Release Form is prepared by the investigating officer or himself on all incidents occurring during his shift.
 - B. The Shift Commander shall be responsive, in a courteous and prompt manner, to all requests for information from all members of the press, radio, and television media.

- C. The Shift Commander shall be responsible for obtaining from investigative officers in the field as much basic information that is available to provide the following information to representatives of the news media.
- (1) Nature of incident being investigated, i. e., personal injury accident, fatal accident, shooting, bomb threat, rape, etc.
 - (2) Time the incident was reported to police.
 - (3) Number of troopers and/or fire companies and ambulances dispatched to the scene.
 - (4) Location of incident (unless classified, i. e., drug raid).
 - (5) Number of injured and/or dead, their sex, if known, and name of hospital where injured and/or bodies were taken. (Names, ages, and addresses not necessary in this report).
 - (6) Traffic conditions and/or detour instructions for public.
 - (7) Estimated time when detailed News Release is expected to be completed.
 - (8) The information outlined in sub-paragraphs (1) through (7) above, shall be reduced to writing on a News Release Form.
- D. If a shift change occurs during the course of an investigation for which a detailed News Release has not been completed, the Shift Commander going off duty shall inform his relief Shift Commander of the basic information as stated in "C" above so that he may be responsive to inquiries from the news media.
- E. It will be the responsibility of special unit and section chiefs to see that a detailed News Release is prepared on all incidents listed for whom primary investigative responsibility was of a special unit or section.
- (1) If investigation is of such nature that it would draw the immediate attention of the news media, information for a News Release shall be relayed by the officer in charge of investigation to the Troop Shift Commander in whose area investigation is taking place so that he can be responsible to news media inquiries.
 - (2) The detailed News Release shall be prepared by investigating officers and delivered as soon as possible to the Troop Shift Commander in whose area investigation took place.

5. Investigating Officer. The investigating officer of any accident, crime, or incident shall be responsible for relaying to the Shift Commander in whose area investigation is being conducted, the basic information required for a News Release as soon as possible after all injured and dead have been properly cared for, the scene of the incident properly secured, and proper traffic control is established.
 - A. News Release information should be relayed to the Shift Commander by public service phone whenever possible from the scene or upon arrival at the hospital. If necessary, however, a short radio message may be transmitted to ensure that the Shift Commander is informed of the situation.
 - B. Upon return to the troop, investigating officer shall, as soon as possible, prepare a detailed News Release and leave it with the Shift Commander before resuming routine patrol or going off duty.
 - C. A copy of every news release shall be kept at the Troop for 30 days. Such copies should be made on the Troop Xerox machine. The original copy of every news release shall be sent to the Community Relations and Public Information Officer, where it will be kept on file for one year.

NMR11. SCOPE AND CONTENT OF NEWS RELEASES. Members will make every effort to cooperate with the press, radio, television, or other public information media; however, sound judgment must be exercised. Information will not be released which would serve to weaken, or in any way hinder, an investigation being brought to a satisfactory conclusion, or endanger the lives of investigating officer and/or victims, suspects or the general public. All information released shall be based upon fact, not supposition or rumor.

The Division recognizes the legal restraints on the press existing outside of the sphere of these guidelines and will not assume their application. Likewise, the Division expects the press to recognize the necessary legal restraints upon the police concerning the release of information.

1. General. The following information shall not be disclosed unless authorized by the Superintendent of State Police or his designee.
 - A. The identity of any deceased or seriously injured person prior to notification of the next of kin. Every effort must be made to notify the next of kin of the deceased before the news media is notified of the names. If notification cannot be given within a reasonable time, preferably six hours, but a maximum of twenty-four hours, the reason will be determined and the news media advised of the circumstances and the identification of the victims. The responsibility for disseminating names of the victims to the public will then be that of the news media.
 - B. The specific cause of death until announced by the State Medical Examiner or his Deputy.

- C. The identity of any victim of a sex crime.
 - D. The home address or telephone number of any member of the Division.
 - E. Information or statements which may result in disproportionate favorable "publicity" (as opposed to legitimate news) for any member, unit, or section of the Division, or any other agency, including other non-police local, city, county, state or federal government offices and agencies.
 - F. Personal opinion not founded in fact.
 - G. Unofficial statements concerning internal affairs, policy and/or personnel matters concerning the Division and/or Public Safety Department.
2. It is the practice of news media representatives to contact the various troops for the purpose of soliciting information upon which news stories might be predicated. Proper response shall be furnished by personnel answering such inquiries. If the member answering such a call does not have the pertinent information concerning an incident, then a check should be made with the Shift Commander and/or Traffic Lieutenant or Criminal Lieutenant to ascertain the information requested or an official explanation as to why such information is not available.
 3. Information shall be disclosed without partiality to any particular news media representative or agency, and shall not be withheld or delayed to favor any person or agency except that specific independent inquiries by a news media representative may be honored at the time of inquiry.
 - A. It is absolutely necessary that all accredited representatives of the news media be treated equally and that no favoritism or discrimination be shown to one media over another. If one newspaper, radio, or television news bureau is furnished information initiated by the Division, then other news media representatives must be furnished the identical information in order to protect the Division from allegations of favoritism.
 4. Good judgment, of course, must be utilized in furnishing information to the news media to ensure that the Division's official duties are not hindered. Nonetheless, there is no reason why information in the public realm should not be released within these guidelines. For example, in fatal accident cases, the fact that the victim is unidentified is no reason for withholding the fact that there has been a fatal accident.
 5. In situations where inquiries are received by members other than the Shift Commander, who may be occupied on some other matter, and no news release is available, the member taking the call shall

take the name and address of the news representative. The Shift Commander shall be advised immediately so that proper attention can be given to the inquiry and the news representative recontacted and furnished any information available.

6. Enforcement of laws within the Division's responsibility must be given continuous, relentless, and vigorous attention in all parts of the State. Division personnel in their contacts with the news media, as well as personnel lecturing before various schools or delivering public addresses, must be constantly alert to utilize proper language to describe the Division's responsibilities without reference to cliches and terminology, which may be misleading or misrepresentative of the Division's functions.
 - A. For example, the use of the phrase "the State Police have a drive on speeders" connotes concentrated attention to enforcement of only one violation to the total or partial exclusion of others, and also infers that when the "drive" is over, less attention will be paid to enforcement of the subject matter of the "drive".

NMR12. RELEASE OF INFORMATION TO NEWS MEDIA, CONCERNING PRE-ARREST AND POST-ARREST SITUATIONS. Division policy on making releases of information to news media on pre-arrest and post-arrest situations is set out herein. There are limitations on what may be released. Adherence to these instructions will materially protect the Division in judicial review of cases and at the same time permit continuing cooperation with news media while fulfilling basic responsibilities.

1. PRE-ARREST PROCEDURE - WHAT CAN BE GIVEN OUT.

- A. Information relative to criminal investigations which shall be released, if it is not otherwise restrained by the effects of these guidelines, shall include:
 - (1) The type of event or crime--when accurately known.
 - (2) The location, time, items, or amount taken, injuries sustained or damages incurred.
 - (3) The identity of the victim (except when release of identity would endanger life of victim).
 - (4) Whether or not there are suspects, without further comment.
 - (5) Numbers of officers or people involved in an event or investigation and the length of investigation, if such information is requested and would not hinder the investigation or performance of duty.
 - (6) Requests for aid in locating a suspect or evidence.

- (7) The name, address, description, employment, and marital status of a person for whom a warrant has been issued.
- (8) The exact offense charged--a brief description of the offense and method of complaint, i. e., officer, citizen, warrant, indictment, summons.

B. Items of evidence, which if disclosed would be prejudicial to the solution of the case, should not be made public. Photographs of a person accused by indictment or warrant, without police identification on them, may be furnished. Where the identity of a suspect has not been established, it may be desirable to publicize descriptions, artists' sketches, or other information which could lead to the identification and arrest of the suspect.

- (1) Suspects who are interviewed but not charged should not be identified.
- (2) The finding of physical evidence, such as weapons or proceeds of the crime, the issuance and service of a search warrant, and the positive or negative results of the search, may be released. Information as to how a weapon or proceeds of the crime was located should be withheld if this involves information which is prejudicial.
- (3) Fugitive cases may require wide publicity. While, as a general rule, prior records of conviction should not be publicized, it may be desirable in the public interest to disclose such records of fugitives when the pattern of their crimes indicates that the public may be the victim of fraud or personal injury. The circumstances and facts in each case will be the controlling factors in decisions. In some fugitive cases, it may be necessary to withhold information when its publication would be detrimental to the apprehension of the wanted person. Common sense should dictate the manner in which fugitive cases are handled with a positive view toward the public interest and safety and the protection of other law enforcement agencies.
- (4) Fugitives, who have a past history of being armed or who have shown a propensity for violent acts, shall be characterized as being dangerous and why, so that an arresting officer will be well aware of dangerous aspects involved in the apprehension of such a subject.

2. POST-ARREST PROCEDURE - WHAT NOT TO GIVE OUT. To avoid jeopardizing prosecution of a criminal matter by prejudicing the right of the defendant to a fair trial, members shall not make statements to the news media in the period between arrest and trial relating to the following:

- A. Character or reputation of a suspect or the existence, if any, of a prior criminal record.
- B. Existence of a confession, admission, or statement by an accused person, or the absence or failure of an accused to make the same.
- C. Re-enactment of a crime, or the fact that a defendant may have shown investigators where a weapon, loot, or other evidence was located.
- D. References to a defendant as (for example) "a sexcrazed maniac", a "depraved character", a "typical gangster", "professional burglar", "shakedown artist", etc.
- E. The existence or contents of any confession, admission, or statement given by the accused or his refusal or failure to make a statement; and/or the performance or results of any examinations or tests or the refusal or failure of the accused to submit to examinations or tests.
 - (1) Information may be given out only if requested as to whether an individual arrested, refused or submitted to the normal test in DWI cases. No results of any such test shall be disclosed to the news media.
 - (2) Information may be given out concerning the general facts that physical evidence is being examined. However, the description of such evidence and the results of such examinations shall not be disclosed without the concurrence of the Attorney General's Office.
- F. Guilt or innocence of a defendant, or the possibility of a guilty plea to the offense charged, or to a lesser offense (i. e. , plea bargaining) or possibilities of other dispositions such as "nolle prosequi".
- G. Identity, credibility, or testimony of any prospective witness.
- H. Testimony, credibility, or character of any victim witness.
- I. Information of a purely speculative nature.
- J. The merits of the case, such as evidence and arguments, whether or not it is anticipated to be used in court.
- K. Transcripts, reports, or summaries of occurrences taking place during the course of judicial proceedings from which the public and press have been excluded.

3. POST-ARREST PROCEDURE - WHAT CAN BE GIVEN OUT.

- A. Personnel authorized to deal with the news media should supply any relevant information on the arrest, provided it cannot be construed as prejudicial to a fair trial. Information which may be given out includes the following:
- (1) Defendant's name, age, residence, employment, marital status, and similar background information.
 - (2) Substance or text of the charge on which the arrest was made and the identity of the person preferring the charge (when such information does not constitute a danger to the complainant).
 - (a) Members, dealing with the press, shall withhold identification of persons preferring charges when such persons are victims of a sex crime and publication of their identity would be a matter of serious embarrassment to them or jeopardize their security.
 - (3) Identity of the investigating and arresting agency, the duration of the investigation, and aspects of the investigation of a non-prejudicial nature.
 - (4) The facts and circumstances immediately surrounding an arrest - time, place, resistance, pursuit, possession or use of weapons, and a general description of contraband seized, if disclosure is not prejudicial.
 - (5) Pre-trial release or detention arrangements, i. e., amount of bond, location of detention.
 - (6) The scheduled dates or results of the various stages in the judicial process.
 - (7) Photographs of defendants (without police identification data on them) may be furnished to the news media. Members shall not assist in posing defendants for news or television cameramen, but the efforts of such cameramen should not be hindered during the course of any normal movements of members or defendants which expose defendants to public view.
- B. When there is a question as to whether an item should be released, the decision may be made by the Troop Commander or officer in charge of the investigation on the general principle that information should be made available unless it reasonably could be construed as prejudicial to the defendant, harmful to prosecution, or endanger the lives of persons involved in the case.

NMR13. SPECIAL CONSIDERATIONS

1. Photographing or Television.

- A. In public places, and places where the press may otherwise lawfully be, no member shall take any action to prevent or interfere with the news media in photographing or televising an event, a suspect, or an accused or any other person or thing except that the presence of cameramen and crews shall not be allowed to significantly interfere with the police mission at hand. A proper action for the officer in charge of the scene would be to make allowances for the presence of cameramen and photographers and try to facilitate their job when appropriate.
- (1) Troop Commanders may properly extend cooperation when departmental property is required for the recording of interviews, news releases, documentaries, or events of an unusual nature. In routine circumstances, public information programs and the press may be permitted by the Troop Commander to use their own equipment within police buildings or property.
- B. Members shall not deliberately pose a suspect or accused in custody to be photographed, televised or interviewed.
- C. Members shall not pose themselves with a suspect or accused, nor shall they enter into any agreement to have a suspect or accused in custody at a prearranged time or place to be photographed, televised, or interviewed.
- D. Police department photographs or films of the following shall not be released, except by the Superintendent of the State Police or his designee:
- (1) Crime scenes.
- (2) Suspects or accused persons prior to actual arrest.
- (3) The victims of any crime, accident, or suicide.
- (4) Juveniles (under 18 years).
- (5) Members of the department.

2. Names of Juveniles.

- A. In compliance with Rule 350, of Court Rules for Family Court of the State of Delaware, March 1, 1973, no child having been arrested shall be publicly named. Permission may be granted by a Judge of the Court for good cause as the interest of justice may require.

- B. The names of juveniles involved in motor vehicle accidents, who are not arrested, will continue to be released to the news media routinely, unless specifically ordered not to by an official of the Family Court. Release of juvenile names in other cases will be made only upon specific request by an accredited news media representative, unless ordered not to by the Family Court.
- C. The fact that the name of a juvenile is being withheld by order of the Family Court should be stated, if questioned by a representative of the news media.

3. Sensitive and Confidential Operations.

- A. Information, concerning the activities of the Vice and Intelligence Units, Inspection and Internal Affairs Units, Operations Branch or any special police operations necessarily deemed to be confidential by the officer in charge of the operations, shall not be disclosed, except by the express permission of the respective officers in charge, Section Chiefs, or the Superintendent of Police.

4. Suicide Notes.

- A. The contents of a suicide note or electronically recorded message is to be considered personal and confidential. No member shall make such written or recorded statements public. The fact that a suicide note exists may be reported without further comment.

5. Withholding Information.

- A. At the time information is denied to the press in the face of a legitimate inquiry, the denial shall be supported by a courteous, logical, and adequate explanation, which can be justified upon further inquiry. Failure to do this can unnecessarily damage the positive efforts to build good police-press relations.

6. Names of Armed Forces Personnel.

- A. If news media representatives arrive at the crash scene of a military aircraft or motor vehicle before military authorities, they are to be advised to stay away from danger areas and reminded that when the military crash team arrives, a Service Information Officer will assist them. Requests for information directly concerning the military (such as the names, ranks and missions of military personnel involved) should be referred to military authorities. Only accurate, factual information directly concerning the State Police investigation of the crash is to be given, and whenever possible that information should be coordinated with the proper military authorities.

- (1) Information concerning military personnel involved in a civilian automobile, train, or plane crashes will be released in the same manner as though the serviceman were a civilian.
- (2) Cooperation of news media photographers should be requested, but no force should be used by State Police personnel to prevent their taking photographs at military crash scenes. Military authorities should, however, be advised that photographs have been taken, and, if possible, they should be supplied with the name of the photographer and the agency for which he works. Photographers should be reminded that photographing classified equipment is a federal criminal offense, as well as being detrimental to national security. They should be advised to obtain authorization from the proper military officials before taking or publishing photographs of military equipment, which may be classified.

7. Weather and Road Conditions.

- A. Members on patrol, observing changes in highway or weather conditions which would endanger or interrupt traffic, will immediately notify their Shift Commanders. Such information shall be made available to the public and the news media. Requests from a television or radio station for the services of a member to broadcast live or recorded routine weather or highway conditions will be complied with, whenever possible.

8. Recognition of Department Members.

- A. Names of members should be incorporated into news releases, if the Troop Commander or officer in charge determines that the members are deserving of special attention, due to their actions relating to the incident.

9. Publication by Division Personnel.

- A. Members are prohibited from releasing stories or statements concerning the policies and/or operations of the Division of Public Safety Department to magazines, periodicals or other similar publications without the written approval of the Superintendent of State Police.

PUBLIC INFORMATION

PI1. GENERAL PROVISIONS FOR REQUESTS FOR INFORMATION. The public has an abiding interest in law enforcement and in the activities of the Division. The news media and members of the Public frequently direct inquiries to the Division seeking information on a variety of subjects. While it is the aim of the Division to fulfill such requests, it is not always possible to do so. Whether to release information or to grant interviews will be determined according to the facts of each case.

PI2. PERMISSION FOR USE OF DIVISION FACILITIES. Normally, the Division will not grant permission for its equipment or the interior of its facilities to be used for television, motion pictures, or other entertainment productions. However, when coverage is required for recording interviews, news documentaries, news releases, or events of an unusual nature, representatives from the news media or public information programs may be allowed to use their equipment inside police facilities under supervision.

PI3. COOPERATION FOR FEATURE ARTICLES OR PROGRAMS. Requests for Department cooperation in the preparation of articles for newspapers, magazines, and other publications will be individually considered, and, if approved by the Superintendent, permission for the interviewing of Division personnel and the photographing of police facilities will be limited to the scope of approval. Officers, participating in the preparation of such articles, should ascertain the scope of approval and should be cautious not to exceed those limits. In any event, officers should exercise care and discretion so as not to make statements or convey information which, if later quoted, may create a misunderstanding or compromise the effectiveness of the police service.

PI4. RESPONSIBILITY OF OFFICERS TO SUPPLY INFORMATION.

Frequently, due to public expectations and because of his accessibility, an officer is called upon to supply information both related and unrelated to the law enforcement function. An officer should appropriately answer questions put to him or refer the person to the proper individual or agency for such answers. When a request is made for information about a police matter, an officer should decide if he is in possession of sufficient facts and is qualified to respond, and whether the person making the request is a proper person to receive the information. Generally, an officer should be open in his dealings with the public and, unless there is reason to the contrary, he should supply requested information. He should, however, be cautious to avoid representing as fact that which is his opinion.

PI5. PUBLIC INFORMATION PROGRAMS AND EDUCATION. The Division conducts various public information and crime prevention programs to educate the public and to eliminate specific crime problems. In addition, the Division cooperates in developing new programs in those areas where the relationship between any group, or the public as a whole, and the Division may be improved. In so doing, the probability of crimes being committed may be reduced and the effectiveness of the Division enhanced.

PI6. TOURS OF STATE POLICE FACILITIES. Many people rarely have an occasion to enter a police station or to witness activities which support line operations. To acquaint the public with the law enforcement task, the Division will hold "open house" and, upon request, conduct tours of police facilities. The scope of such tours will be dependent upon security requirements and personnel availability.

APPENDIX A

It shall be the Shift Commander's responsibility to have the Investigating Officer complete a News Release for each of the following incidents as soon as possible:

- I. A Traffic News Release shall be completed for each of the following types of traffic accidents or incidents:
 1. All Fatal Accidents.
 2. All serious Personal Injury Accidents (requiring admission to a hospital)
 3. All unusual Property Damage Accidents (causing extensive damage to public buildings and/or property, or causing detour of traffic over a long period of time).
 4. All PI and/or PD Accidents involving railroad trains (including derailments).
 5. All high speed chases resulting in arrests and/or personal injury.
 6. Major traffic detours (i. e. , drawbridge stuck, convoys, animals on road, flooding, etc.).

- II. A Criminal News Release shall be completed for each of the following crimes that are investigated and found to actually have occurred:
 1. Homicide
 2. Kidnapping
 3. Rape
 4. Robbery
 5. Assault on a Police Officer
 6. Aggravated Assault resulting in injury requiring medical attention
 7. Sexual Assault
 8. Arson
 9. Hijacking
 10. Burglary
 11. Grand Larceny
 12. Counterfeit Money
 13. Escape
 14. Bomb Threat
 15. Riot
 16. Public Disorder or Disturbance involving a group of individuals and resulting in arrests
 17. Suicides
 18. Forgery (arrest only)
 19. Embezzlement (arrest only)
 20. Drug violation (arrest only)
 21. Obscene Material (arrest only)
 22. Prostitution (arrest only)
 23. Gambling (arrest only)
 24. Smuggling (arrest only)
 25. Liquor violation (arrest only)
 26. Bribery (arrest only)
 27. Weapons and/or explosive offense (arrest only)

- III. An Incident News Release shall be completed for each of the following incidents that are investigated and found actually to have occurred:
1. Search and Rescues involving State Police helicopter and/or State Police personnel
 2. Lost persons for whom a search has been initiated
 3. Drownings
 4. Explosions
 5. Aircraft crashes and forced landings
 6. Storm and/or flood damage
 7. Accidental Shooting
 8. Sudden Death (Accidental)
- IV. These guidelines in no way prohibit the members of the Delaware State Police from responding to direct inquiries regarding arrests that are not routinely covered by a news release.

General Order _____

Index as:

Administrative Filing System
Filing System, Administrative
Administrative Records

SUBJECT: ADMINISTRATIVE FILING SYSTEM AND MASTER OUTLINE FOR
ADMINISTRATIVE FILE

The purpose of this order is to establish a uniform filing system for administrative records and executive correspondence. This order pertains to administrative filing and all administrative files will use the same system to the extent required.

This directive consists of the following numbered sections:

- I. Responsibility
- II. Filing System
- III. Classification
- IV. Cross-Referencing
- V. Installation
- VI. Removing Material From Files
- VII. Returning Material to Files
- VIII. Annual Basis
- IX. Maintenance

I. Responsibility

A. Office of Origin

When an office prepares a document, it is the office of origin. Documents of an administrative nature, as opposed to a police case, going outside the agency and prepared by a member of the department must be coded, classified, and a copy forwarded to the master administrative file. A copy must also be filed in the office of origin.

B. Office of Responsibility

When an office has final responsibility to act upon an administrative document received, it is the office of responsibility. In some cases, the same office may act in both capacities. The office of responsibility will code, classify and file received administrative documents in their own administrative files but will not forward these documents to the master administrative file. The only received administrative documents to be filed in the master administrative files will be those in which the office of responsibility is the chief of police or his assistant chiefs.

C. Correspondence to be Recorded

Each office that maintains administrative files will record all incoming and outgoing correspondence on a log book. The log book will be separated on a daily basis. The log book will contain the following information:

- | | |
|------------------------|-----------------------------|
| 1. Numerical Entry | 4. Brief Summary of Subject |
| 2. Correspondence From | 5. Filing Code Number |
| 3. Correspondence To | 6. Filing Date |

D. Signature of Chief

The chief should review and sign outgoing administrative correspondence unless the items being mailed are form letters or correspondence of a repetitive nature. In these cases, a stamped signature or facsimile of the chief's signature rendered by another person may be used.

II. Filing System

A. Divisions

The administrative filing system consists of eight major divisions.

- | | |
|---------------------------|---------------------------------|
| 1. <u>ADM</u> inistrative | 5. <u>PER</u> Sonnel |
| 2. <u>LEG</u> al | 6. <u>OPS</u> - Operation |
| 3. <u>LIA</u> ison | 7. <u>SRVS</u> - Services |
| 4. <u>TRNG</u> - Training | 8. <u>PR</u> - Public Relations |

B. Master Outline

This is a subject-oriented system and this is the only consideration of classifying documents for filing. The master outline of subjects will be used in determining the proper classification of subjects. The master outline consists of two parts - a filing code and a subject or title. The filing code will be printed or typed in the upper right-hand corner of the document. There are eight major divisions and as many primary, secondary, and tertiary subdivisions as necessary.

C. Examples:

1.	<u>FILING CODE</u>	<u>SUBJECT</u>
	ADM (Major Division)	Administration
	ADM 4 (Major Division and Primary Subdivision)	Budget
	ADM 4-2 (Major Division, Primary and Secondary Subdivisions)	Purchasing
	ADM 4-2-1 (Major Division, Primary, Secondary, and Tertiary Subdivisions)	Purchasing Requisitions

2.	OPS	Operations
	OPS 2	Patrol
	OPS 2-1	Patrol Distribution
	OPS 2-1-1	Patrol Manpower by Shift

III. Classification

A. Filing Assignment

Each office shall assign the responsibility for filing administrative documents to a specific person. Other designated persons shall perform this task only in event of the assigned person's absence.

B. Method

The first step is to determine the subject of the document and code according to the master outline. The subject matter of the record itself is the sole consideration. Since the administrative filing system is subject-oriented, it cannot foresee many new subjects which will develop with time. Accordingly, the system provides for adding primary, secondary, and tertiary subdivisions whenever these prove to be appropriate. To maintain uniformity in the filing code, however, it is absolutely necessary that control and coordination be exercised over the addition of subdivisions to the eight major divisions.

C. Addition of Subdivisions

The addition of major divisions will not be authorized but subdivisions can be added by first obtaining permission.

IV. Cross-Referencing

A. Need to Cross-Reference

The need for cross-referencing may arise under two conditions.

1. When two or more subjects are covered in one document
2. When the subject matter is clearly not discernible
 - a. In either case, a cross-reference sheet should be used. Cross-references are indicated on the original document by placing a second (or third) code beneath the first code.

ADM 6

PER 2-2

B. Cross-Reference Sheet

Next, a cross-reference sheet is filled out and filed under PER 2-2, making reference to the record filed under ADM 6. Cross-reference

sheets should not be considered as records. They are simply tools, and should be coded to facilitate removal from the files. There should be no limit to the number of cross-references that may be made for a single record. However, this process should be employed only when absolutely necessary. Cross-referencing is designed to make filing and searching easier, and therefore, the process should not become a major task impeding normal filing operations.

C. Format

Cross-Reference Sheet		CROSS REF. NO. _____
MAIN SUBJECT:		DATE OF _____
TO:		FILED UNDER _____
FROM:		
BRIEF SUMMARY:		

V. Installation

A. Extent of Subdivisions

Not all offices will have to use all classifications in filing. Only those major divisions and subdivisions as are necessary will be used. If a small amount of material is accumulated on a major subject, only the major divider need be used. For example, an office may have three documents under the ADM category. Although individually they might be classified ADM 1, ADM 6-1, and ADM 8-4-1, since the volume is small, they do not need individual folders. They may all be filed in a single folder. As the file grows, consideration may be given to using the subdivisions. Subdivisions should be used only where reference is frequent or there is sufficient volume.

B. Procedure for Filing

After classifying and coding material on hand, it will be placed in the correct folder in chronological order with the latest date to the front. When several pieces relate to the same specific subject, all shall be brought forward and joined with the latest piece. If a folder fills up, it is not necessary to subdivide for this reason alone. A companion

folder may be added for the surplus. Folders shall not be overloaded. No more than 3/4 of an inch of material shall be placed in one folder.

C. File Holders and Dividers

Major categories are divided by fifth-cut pressboard metal tab filing guides with the category designation on the first position. Material is held in kraft or manila folders with a typewritten indication of the filing code. Subject dividers or folders of any other type are not authorized.

VI. Removing Material from Files

A. File Removal Sheet

Individuals in charge of an office may grant permission to any member acting in his official capacity to remove material from the files. When records are removed, however, a file removal sheet shall be completed by the person removing the records. The file removal sheet will be inserted into the files in the position vacated by the material being removed.

B. Material Removed

The stated procedure shall be followed even though the material being checked out of the file does not leave the office. In brief, every time records are removed from the file, a properly completed file removal sheet shall replace the records.

VII. Returning Material to Files

A. Designated Location

No one but designated personnel shall return material to the files. The person in charge of each office shall designate a receptacle for the retention of returned documents pending filing by authorized personnel.

B. Material Removed

Any commanding officer or watch commander may remove material from the files; however, material should be returned to the receptacle so designated and filed only by authorized personnel.

VIII. Annual Basis

A. Annual Divider

Although files shall be annual in character, they shall not be physically separated by year. They shall, however, be divided within a folder, by year, through the means of inserting a plain piece of blue paper with tab between different years.

B. Permanent Removal

Separate drawers or files for individual years shall not be maintained. The only time that an annual accumulation shall be permanently removed from the main file is when it is done in accordance with a records-retention schedule.

IX. Maintenance

A. Unauthorized Items

Paper clips shall not be placed within the file folders, nor shall envelopes be filed with correspondence. If the latter does not contain a return address, but the envelope does, the envelope address may be copied onto the correspondence.

B. Storage Space

File cabinets shall not be used as storage space for office supplies, equipment, forms or other property - personal or otherwise. Adequate supplies of forms and other expendables may be stored in desk drawers or supply cabinets.

Effective Date

This order is effective _____, 19____.

Chief of Police

I have read the above order and fully understand.

Officer

Date

Distribution:

MASTER OUTLINE - ADMINISTRATIVE FILE

<u>Code</u>	<u>Title of Folder - Typical Contents</u> (but not limited to)
ADM	ADMINISTRATION
ADM	1 <u>Administrative theory; administrative surveys; <u>general</u></u>
	2 <u>Organization</u> (policy, theory, charts)
	3 <u>Planning function</u> (policy, procedure)
	4 <u>Budget and Finance</u> (policy, procedure)
	4-1-1 Annual budget folders, individually labeled as " <u>1963 Budget</u> ,"
	4-1-2 " <u>1964 Budget</u> ," and so on
	4-1-3
	4-2 <u>Purchasing</u> (policy, procedure and working files)
	4-2-1 <u>Purchase Requisitions</u> (procedure, files)
	4-2-2 <u>Catalogues</u> and manufacturers' literature
	4-3 <u>Funds</u> (policy and procedure on petty cash, change funds, receipts)
	5 <u>Office Practice</u> (policy and procedure on routing, mailing, supplies, phone index, and so on)
	6 <u>Reporting</u> (policy and procedure related to general activity, crime, traffic, inspection, and other internal reporting)
	6-1 <u>General Activity Reports</u> (monthly and annual file)
	6-2 <u>Uniform Crime Reports</u> (monthly and annual)
	6-3 <u>National Safety Council Reports</u> (monthly and annual)
	6-4 <u>Inspection Reports</u>
	6-5 <u>History of the Department</u> (notes, clippings, photos)
	6-6 <u>Officers' Monthly Work Summaries</u>
	7 <u>Direction and Control</u> (policy and procedure relating to leadership, supervision, and issuance of written directives and communica- tions)
	8 <u>Staff Meetings</u> (policy, agendas)
PERS	PERSONNEL
PERS	1 <u>Police Commission</u> (organization and procedure)
	2 <u>Working Conditions</u> (in general, also surveys of general conditions)
	2-1 <u>Salary</u> (schedules, surveys, pay plans)
	2-1-1 <u>Merit Raises</u>
	2-1-2 <u>Longevity Pay</u>
	2-2 <u>Days off, shift selection, hours of work, mealtimes</u> (policy)
	2-2-1 <u>Work Schedules</u> (current and previous)
	2-3 <u>Overtime and Time Off</u> (policy, time-slips)
	2-4 <u>Annual Leave</u> (policy and procedure; vacation schedule)

Code

- 2-5 Sick Leave (policy; sick report file)
- 2-6 Insurance - Health and Life (policy; policies; corresp., claims)
- 2-7 Workmen's Compensation
- 3 Recruitment (policy and procedure; includes recruitment, examination selection, and appointment)
- 3-1-2 Folders for each test, labeled "Exam - 6-64," "Exam - 163," (to correspond with the month and year of patrolmens' examinations) containing results, lists
- 4 Promotion (policy and procedure)
- 4-1-2 Folders for each test, labeled for example, "Sgt. Exams etc. 5-63" and containing announcement, results, list
- 5 Probation (policy; tickler file to determine end of period)
- 6 Performance Ratings (policy and procedure)
- 7 Rosters (alphabetical listing of members; also by seniority in rank; and seniority in department)
- 8 Resignation
- 9 Retirement
- 10 Disciplinary Action - reprimand, transfer, suspension, demotion, dismissal (policy and procedure - not specific cases)
- 11 Individual personnel folders, filed alphabetically in a locked cabinet and divided into Active and Inactive. Each folder should consist of personnel action forms (attached to one side of the folder), and general information (attached to the other side) including personnel complaint investigations, performance ratings, information relating to skills and achievements, application forms, and transcripts.
- 12 Individual background investigation folders, filed alphabetically, again in Active and Inactive. Each folder should contain background investigation details, oral interview comments, and FBI and local fingerprint histories. This file should be kept locked and under the chief's personal control.

TRNG

TRAINING

- TRNG 1 Training (policy)
- 2 In-service Training (policy, announcements, correspondence)
- 3 Academies and Special Courses (policy, announcements, correspondence)
- 4 College Programs (policy, announcements, correspondence)
- 5 Training Outline (filed alphabetically by subject matter)

OPS

OPERATIONS

- OPS 1 Crime Causes and Prevention (in general; notes and theories on local conditions)
- 1-1 Crime Analysis (methods; reports)
- 2 Patrol (in general; its role in the department)
- 2-1 Patrol Distribution and Deployment (procedures; results of studies)

Code

- 2-2 Patrol Methods and Systems (policy, procedure)
- 3 Crime Suppression Techniques
- 4 Crime Investigation Techniques
- 5 Police Procedure and Tactics ("How to Handle" series - files on policy and procedure for specific types of crimes and incidents, arranged alphabetically)
- 6 Mechanics of Arrest, Custody of Prisoners
- 7 Criminal Procedure
- 7-1 Arrest, Search and Seizure (procedure, opinions)
- 7-2 Booking (policy, procedure)
- 7-3 Bonds (policy, procedure)
- 7-4 Court Procedure (arraignment through appeal-policy, procedure)
- 7-5 Complaints and Warrants (policy and procedure)
- 8 Traffic (in general; its role in the department)
- 8-1 Enforcement (policy and procedure for each type of violation; notes; opinions)
- 8-2 Engineering (policy and procedure in signs, signals, and construction; studies and recommendations)
- 8-3 Parking Control (policy, plans, surveys, correspondence)
- 8-4 School Safety Patrol
- 8-5 Crossing Guards
- 9 Investigation Division (policy and role of the division in the department)

SERVS

SERVICES

SERVS

- 1 Communications
- 1-1 Radio (policy; technical literature; FCC correspondence)
- 1-2 Dispatching (policy and procedure)
- 1-3 Teletype (policy and procedure)
- 1-4 Telephone (policy and procedure)
- 2 Records (policy and procedure related to the records function in general plus policy and procedure for each of the forms and files)
- 3 Report Review and Classification (policy and procedure)
- 4 Facilities
- 4-1 Buildings (plans, layouts)
- 4-2 Building Maintenance
- 4-3 Equipment Operation and Maintenance (policy, procedure and correspondence; equipment inventories)
- 4-4 Vehicle Maintenance
- 4-5 Identification and Laboratory (policy and procedure)
- 4-6 Jail operations

PR

PUBLIC RELATIONS

PR

- 1 Press Relations (policy; procedure; press releases)
- 2 Community Organizations (policy; roster of organizations)
- 3 Speeches and Public Contacts (policy; speech file)
- 4 Community Safety Program

Code

LIA LIAISON (policy and procedure with outside agencies having contact with the police department; in folders with listing as per telephone directory, and divided into federal, state, county, local, and quasi-governmental (such as National Auto Theft Bureau))

(Example)

LIA	1	<u>Federal Agencies</u>
	1-1	<u>Alcohol and Tobacco Tax Unit</u>
	1-2	etc.
	2	<u>State Agencies</u>
	3	<u>County and Circuit Court Agencies</u>
	4	<u>City</u>
	5	<u>Local Districts</u>
	6	<u>Quasi-Governmental Agencies</u>

LEG LEGAL (laws, amendments, decisions, and opinions)

LEG	1	<u>U. S. Laws</u>
	2	<u>State Laws</u>
	3	<u>County Ordinances</u>
	4	<u>City Ordinances</u>
	5	<u>Local District Regulations</u>

POLICE MUTUAL AID AGREEMENT

AGREEMENT

This Agreement, made and entered into this _____ day of _____, 19_____, by and between the local governments signatory hereto,

WITNESSETH:

Whereas, certain local governments in the metropolitan area have determined that the provision of police aid across jurisdictional lines in emergencies will increase their ability to preserve the safety and welfare of the entire area;

Now, therefore, the parties hereto do agree as follows:

1. Declaration of Emergency. When a state of emergency is threatened or exists within the boundaries of any of the parties hereto, as the result of fire, flood, epidemic, war, internal disorder, or other public disaster, it shall notify the other parties to this Agreement of such emergency and its need for police assistance. Assistance shall be rendered according to the procedures established in the operational plan developed and agreed to by all the parties to this Agreement pursuant to the provisions in Paragraph 2 herein.

Each party shall designate the appropriate official within its jurisdiction who is empowered to request assistance under this Agreement.

2. Operational Plan. The mutual assistance to be rendered under this Agreement shall be available upon the development and approval by the parties hereto of an operational plan. The plan shall outline the exact procedure to be followed in responding to a request for assistance. Upon execution of this Agreement, the parties shall designate the appropriate official in their jurisdiction who shall participate in the development of a metropolitan-wide operational plan. The parties shall meet at least annually to review and, if necessary, to propose amendments to the operational plan. Any proposed amendment shall not be effective until approved by written memorandum by all the parties to this Agreement.

3. Governmental Immunity.

(A) The services performed and expenditures made under this Agreement shall be deemed for public and governmental purpose and all immunities from liability enjoyed by the local government within its boundaries shall extend to its participation in rendering police aid outside its boundaries.

(B) Each party shall waive any and all claims against all the other parties hereto which may arise out of their activities outside their respective jurisdictions while rendering aid under this Agreement.

(C) Each party shall indemnify and save harmless the other parties to this Agreement from all claims by third parties for property damage or personal injury which may arise out of the activities of the other parties to this Agreement outside their respective jurisdictions while rendering aid under this Agreement.

4. Employment Benefits.

(A) All the immunities from liability and exemptions from laws, ordinances and regulations which the parties' policemen, agents and employees have in their own jurisdictions shall be effective in the jurisdiction in which they are giving assistance.

(B) All pension, relief, disability, workmen's compensation and other benefits enjoyed by said employees shall extend to the services they perform under this agreement outside their respective jurisdictions.

5. Direction of Assistance.

(A) The parties' policemen, agents, and employees rendering assistance under this Agreement shall do so under the direction and control of the appropriate official designated by the jurisdiction requesting the aid.

(B) The parties hereto shall take all the necessary measures under their respective state and local laws to empower the policemen, agents, and employees rendering assistance with the authority to enforce the laws of the recipient jurisdiction.

(C) The parties shall notify each other of the name, address, and telephone number of the official authorized to direct mutual aid activities within their jurisdiction.

6. Duration. This Agreement shall remain in effect until terminated by all the parties hereto upon written notice setting forth the date of such termination. Withdrawal from this Agreement by one party hereto shall be made by thirty days written notice to all other parties but shall not terminate the Agreement among the remaining parties.

(Seal)

ATTEST:

City of _____

By _____

(Seal)

ATTEST:

City of _____

By _____

(Seal)

ATTEST:

City of _____

By _____

POLICE MUTUAL AID AGREEMENT

**



January 1971

With 1st and 2nd Amendments,
Operational Plan, and the
Narcotics Amendment to the
Operational Plan (1974)

METROPOLITAN WASHINGTON COUNCIL OF GOVERNMENTS

POLICE MUTUAL AID AGREEMENT

THIS AGREEMENT, made and entered into this eighteenth day of January, 1971, by and between the local governments within the Washington Metropolitan Area signatory hereto,

WITNESSETH:

WHEREAS, certain local governments in the Washington Metropolitan Area have determined that the provision of police aid across jurisdictional lines in emergencies will increase their ability to preserve the safety and welfare of the entire area; and

WHEREAS, legislation in Maryland, Virginia and the District of Columbia authorizes the local governments to establish and carry into effect a plan to provide mutual aid,

NOW, THEREFORE, the parties hereto do agree as follows:

1. Declaration of Emergency

When a state of emergency exists within the boundaries of any of the parties hereto, as the result of, or due to the imminence of fire, flood, epidemic, war, internal disorder, or other public disaster, the party or parties shall notify the other party or parties to this Agreement of such state of emergency and its need for police assistance. Assistance shall be rendered according to the procedures established in the operational plan developed and agreed to by all the parties to this Agreement pursuant to the provisions in Paragraph 2 herein. Each party shall designate the appropriate official within its jurisdiction who is empowered to request assistance under this Agreement.

2. Operational Plan

The mutual assistance to be rendered under this Agreement shall be available upon the development and approval by the parties hereto of an operational plan. The plan shall outline

the exact procedure to be followed in responding to a request for assistance. Upon execution of this Agreement, the parties shall designate the appropriate official in their jurisdiction who shall participate in the development of a metropolitan-wide operational plan. The parties shall meet at least annually to review and, if necessary, to propose amendments to the operational plan. Any proposed amendment shall not be effective until approved by written memorandum by all the parties to this Agreement.

3. Governmental Immunity

(A) The services performed and expenditures made under this Agreement shall be deemed for public and governmental purpose and all immunities from liability enjoyed by the local government within its boundaries shall extend to its participation in rendering police aid outside its boundaries.

(B) Each party shall waive any and all claims against all the other parties hereto which may arise out of their activities outside their respective jurisdictions while rendering aid under this Agreement.

(C) Each party shall indemnify and save harmless the other parties to this Agreement from all claims by third parties for property damage or personal injury which may arise out of the activities of the other parties to this Agreement outside their respective jurisdictions while rendering aid under this Agreement. The party receiving assistance shall be solely responsible for indemnifying all parties rendering assistance to it. In no case shall the responding party(ies) have joint or several responsibility for indemnifying other party(ies) rendering assistance.

4. Employment Benefits

(A) All the immunities from liability and exemptions from laws, ordinances and regulations which the parties' policemen, agents and employees have in their own jurisdiction shall be effective in the jurisdiction in which they are giving assistance.

(B) All pension, relief, disability, workmen's compensation and other benefits enjoyed by said employees shall extend to the services they perform under this Agreement outside their respective jurisdictions.

5. Direction of Assistance

(A) The parties' policemen, agents, and employees rendering assistance under this Agreement shall do so under the direction and control of the appropriate official designated by the jurisdiction requesting the aid.

(B) The parties hereto shall take all the necessary measures under their respective state and local laws to empower the policemen, agents, and employees rendering assistance with the authority to enforce the laws of the recipient jurisdiction.

(C) The parties shall notify each other of the name, address, and telephone number of the official authorized to direct mutual aid activities within their jurisdiction.

6. Duration

This Agreement shall remain in effect until terminated by all the parties hereto upon written notice setting forth the date of such termination. Withdrawal from this Agreement by one party hereto shall be made by thirty days written notice to all other parties but shall not terminate the Agreement among the remaining parties.

IN WITNESS WHEREOF the parties hereto have executed this Agreement as of the date first above written.

District of Columbia By *Naeto Washington*

Montgomery County, Maryland By *James P. Brown*

Prince George's County, Maryland By *Alfred J. Smith*

Rockville, Maryland By *Adelle M. Smith*

Takoma Park, Maryland By *George M. Miles*

Arlington County,
Virginia

By

Joseph E. Kirk

Fairfax County,
Virginia

By

William S. Hojnacki

Alexandria, Virginia

By

Henry D. Thacker

City of Fairfax,
Virginia

By

John H. Russell

FIRST AMENDMENT
TO
METROPOLITAN WASHINGTON COUNCIL OF GOVERNMENTS'
POLICE MUTUAL AID AGREEMENT

WHEREAS, the Metropolitan Washington Council of Govern-
ments' Police Mutual Aid Agreement (hereinafter called
Agreement) was made and entered into on the eighteenth day
of January, 1971, by nine local governments in the Washington
Metropolitan Area; and

WHEREAS, the City of Falls Church, Virginia on
February 2, 1971 adopted the Agreement and Operational Plan
and wishes to become a party to the Agreement; and

WHEREAS, the existing parties must assent to the addition
of Falls Church as a party to the Agreement,

NOW, THEREFORE, the parties hereto agree as follows:

THAT the City of Falls Church, Virginia be included
as a party to the Metropolitan Washington Council of
Governments' Police Mutual Aid Agreement.

<u>Jurisdiction</u>	<u>Signature</u>	<u>Date</u>
District of Columbia	By <u><i>Victor Washington</i></u>	<u>5/6/71</u>
Montgomery County, Maryland	By <u><i>James F. P. [unclear]</i></u>	<u>7/20/71</u>
Prince George's County, Maryland	By <u><i>William A. Gullett</i></u>	<u>6/29/71</u>
Rockville, Maryland	By <u><i>John M. [unclear]</i></u>	<u>4/12/71</u>
Takoma Park, Maryland	By <u><i>George [unclear]</i></u>	<u>7-9-71</u>
Arlington County, Virginia	By <u><i>Ray B. [unclear]</i></u>	<u>7/3/71</u>
Fairfax County, Virginia	By <u><i>William [unclear]</i></u>	<u>7/14/71</u>

Jurisdiction

Signature

Date

Alexandria, Virginia

By Charles E. Beatty 5-10-71
Mayor

City of Fairfax,
Virginia

By John H. Russell 7-21-71

City of Falls Church,
Virginia

By Harry E. Wells 3-25-71

SECOND AMENDMENT TO THE
METROPOLITAN WASHINGTON COUNCIL OF GOVERNMENTS'
POLICE MUTUAL AID AGREEMENT

WHEREAS, the Metropolitan Washington Council of Governments' Police Mutual Aid Agreement (hereinafter called Agreement) was made and entered into on the eighteenth day of January, 1971, by nine local governments in the Washington Metropolitan area; and

WHEREAS, the City of Falls Church, Virginia, subsequently became a party to the Agreement; and

WHEREAS, Loudoun County and Prince William County, Virginia, have requested to become parties to the Agreement including the Narcotics Amendment; and

WHEREAS, the existing parties must assent to the addition of Loudoun and Prince William Counties as parties to the Agreement,

NOW, THEREFORE, the parties hereto agree as follows:

THAT Loudoun and Prince William Counties, Virginia, be included as parties to the Metropolitan Washington Council of Governments' Police Mutual Aid Agreement.

<u>JURISDICTION</u>	<u>SIGNATURE</u>	<u>DATE</u>
District of Columbia	By <u>[Signature]</u>	<u>10/26/73</u>
Montgomery County, Maryland	By <u>[Signature]</u>	<u>11/13/73</u>
Prince George's County, Maryland	By <u>[Signature]</u>	<u>11/14/73</u>
Rockville, Maryland	By <u>[Signature]</u>	<u>11/13/73</u>
Takoma Park, Maryland	By <u>[Signature]</u>	<u>11-14-73</u>
Arlington County, Virginia	By <u>[Signature]</u>	<u>12-9-73</u>
Fairfax County, Virginia	By <u>[Signature]</u>	<u>12-5-73</u>
Alexandria, Virginia	By <u>[Signature]</u>	<u>11-14-73</u>

JURISDICTION	SIGNATURE	DATE
City of Fairfax, Virginia	By <u>J. D. Russell</u>	12-13-73
City of Falls Church, Virginia	By <u>Louis H. Blair</u>	Dec 10, 1973
Loudoun County, Virginia	By <u>R. S. Levenson</u>	11-20-73
Prince William County, Virginia	By <u>C. Scott Winfield</u>	12/4/73

POLICE MUTUAL AID OPERATIONAL PLAN

I. Criteria for Requesting Assistance

- A. A state of emergency shall exist or appear imminent.
- B. The requesting jurisdiction shall have committed or shall have foreseen the need to commit all its available resources.

II. Procedure for Requesting Assistance

- A. The official authorized by the parties to the Mutual Aid Agreement to request assistance shall do so by contacting the individual(s) in the jurisdictions designated in Attachment "A".
- B. The Metro Radio Communications System, or other communications system, shall be used to make a request for assistance. The request shall be verified by Metro Teletype by the official authorized to make the request.
- C. All jurisdictions party to the Mutual Aid Agreement shall be alerted by general broadcast over Metro Teletype of the possible need for mutual aid assistance, notified of an actual request for assistance, and, if necessary, the need to stand by.
- D. The request for assistance shall state:
 - 1. The nature of the emergency and its location

2. The type and number of personnel requested
3. The type of equipment needed
4. The name and location of the ranking officer to whom the assisting personnel shall report.

III. Use of Assistance

A. The Chief of Police of the assisting jurisdiction, or other authorized official, shall determine the type of personnel to be dispatched and shall use the Metro Teletype to acknowledge the request, stating the amount and type of assistance which will be provided.

Jurisdictions not on the Metro Teletype System shall request aid by letter, on official letterhead, and signed by the official authorized to make the request, which shall be delivered for transmittal to the nearest police agency with a Metro Teletype System. Such jurisdiction shall respond to requests for assistance in the same manner.

B. The assisting personnel shall report to and shall be under the command of the ranking officer named in the request.

C. Whenever possible, assisting personnel shall be deployed as integral units and under their own supervisor. If such deployment is not possible, the assisting personnel shall be deployed as members of a team with officers of the requesting jurisdiction. If neither of the preceding

is possible, then deployment shall be determined by the ranking officer named in the request (II D 4).

D. The nature of the emergency shall be a consideration in determining where the assisting personnel shall be deployed.

1. In the event of natural disaster, the assisting personnel generally shall be deployed on the scene of the disaster.

2. In the event of civil disaster, the assisting personnel generally shall be deployed as supporting units.

IV. Withdrawal of Assistance

Whenever possible, the assisting personnel and equipment shall be withdrawn pursuant to the mutual agreement of the requesting and assisting jurisdictions. If agreement is not possible, either the requesting or assisting jurisdiction may unilaterally withdraw the assisting personnel or equipment, after notifying the other(s) of the intended action. Notification of withdrawal, by mutual agreement or unilaterally, shall be confirmed through use of the Metro Teletype System as described in Section III hereof.

INITIAL CONTACTS MADE REGARDING POLICE MUTUAL AID WILL BE MADE BETWEEN AND AMONG THE CHIEFS OF POLICE OF THE VARIOUS JURISDICTIONS (OR THEIR REPRESENTATIVES).

FOLLOWING THIS INITIAL CONTACT THE CHIEFS OR THEIR REPRESENTATIVES WILL BE RESPONSIBLE FOR CONTACTING OTHER OFFICIALS WITHIN THEIR OWN JURISDICTION REGARDING POLICE MUTUAL AID NOTIFICATION REQUIRED BELOW:

Police Jurisdiction

Officials authorized to make, approve, and cancel request for assistance from another jurisdiction

- 1. District of Columbia----- Mayor
- 2. Montgomery County----- County Executive
- 3. Prince George's County-----
 - 1. Chairman, Board of Commissioners,
 - 2. Vice Chairman of Board, 3. Any other Board Member
- 4. Rockville-----
 - 1. City Manager; 2. Deputy City Manager
- 5. Takoma Park----- Mayor, 2. Chairman of Law Enforcement Comm.
- 6. Fairfax County----- County Executive
- 7. Arlington----- County Manager
- 8. Alexandria----- City Manager
- 9. Fairfax City----- City Manager

1/18/71

CONFIDENTIAL

METROPOLITAN WASHINGTON POLICE MUTUAL AID INVENTORY

STATE _____ COUNTY _____ CITY _____ DATE _____

DEPARTMENT HEADQUARTERS (Name of Department) (Address)	POLICE CHIEF		1ST ALTERNATE	2ND ALTERNATE	3RD ALTERNATE	ADDITIONAL STATIONS	
	NAME					NUMBER	ADDRESS
PARK/TITLE		DISASTER EMERGENCY		ADMINISTRATIVE			
OFFICE		NORMAL EMERGENCY		SUPPLY/MATERIEL			
HOME							
DEPARTMENTAL TELEPHONES							
PERSONNEL	UNIFORMED OFFICERS	TOTAL SWORN	TOTAL CIVILIAN	DETECTIVES	INTELLIGENCE OFFICERS	JUVENILE OFFICERS MALE/FEMALE	JOINTED PATROL
	PHOTOGRAPHERS	AUTO MECHANICS	K-9 HW/DOGS	RESERVE OFFICERS	RADIO TECHNICIANS	RIOT SQUAD	PARTICIPATIONAL INVOLVED TRAINING OFFICERS/INSTR.
	PATROL VEHICLES MARKED/UNMARKED	PATROL WAGONS	STATION WAGONS K-9/REGULAR	SECURITY/REGULAR	JEEPS/CRANES	RESCUE TRUCKS (METHOD APPROX)	APPROVED VEHICLES
	TRUCKS DUMP/PICK-UP/VAN	MOTORCYCLES SOLO/2-WHEEL	PORTABLE COMMAND POSTS/LANS	A I R	AIRCRAFT FIXED WING/HELICOPTER	BOATS MOTOR/NON-MOTOR	
TRANSPORTATION	BASE RADIO STATIONS		WALKIE — TALKIES		PUBLIC ADDRESS SYSTEMS		
	FIXED	PORTABLE*	NUMBER	FREQUENCY	TYPE	NUMBER	
	NUMBER	FREQUENCY	NUMBER	FREQUENCY	UNITS IN PATROL VEHICLES	BULL HORNS	OTHER MOBILE UNITS

*Mark "CP" before portable units included in mobile command posts.

TEAR GAS SUPPLIES

FIREARMS

ORDNANCE

GRENADES	HANDS	DISPENSERS	MASKS	GUNS	RIFLES	FACILINE GUNS/SHOTGUNS	SNIPER SCORES
					NUMBER CALIBER SCOPES	NUMBER CALIBER/GAUGE	(ENTER VISIBLE)
CARTRIDGES	PROJECTILES	TEAR GAS ANTIDOTE KITS					ARMORED WASTES/SUITS

SPECIAL EQUIPMENT

PROTECTIVE WEARENS (FACE MASKS/NO FACE MASKS)	PORTABLE GENERATORS (WATTAGE)	PORTABLE LIGHT PLANTS (WATTAGE)	PORTABLE KITCHENS	AMBULIBIOUS VEHICLES	SNOW VEHICLES	AERIAL CAMERAS
COMPLETE TELEVISION SYSTEMS TAPPING/TRANSMITTING		DARRIGADERS LIGHTING/UNLIGHTEN		PLANES AVERAGE NO. COVER/NO. PLACES IN EDGE		LIGHT AID KITS (HYDRAS) NO. ROYFS/MC. ITEMS PER BOX
PORTABLE FIRE EXTINGUISHERS (CARBON DIOXIDE / WATER / OTHER)		RADIOLOGICAL MONITORING INSTRUMENT KIT		AIRPLANES AIDPLAN COUNCIL SUPPLIES (PROF. MAGS, M. T. ALPS, TAGS, STAPLES, ETC.)		MISC AIRPORT SUPPLIES (CAMERAS, BARRELS, TAGS, ETC.)

SPECIAL FACILITIES

AUTO SHOPS REPAIR / MAINTENANCE	REFUELING LOCATIONS DIESEL / GAS	BILDLATS FOR OFFICERS PREPARATION/TERMINAL	TV STUDIOS FOR LIVE TRANSMISSION (CIVIL DEFENSE PROP-UP)	AIRPLANE CRASH RECONSTRUCTION AREA/REPAIR (YES OR NO)
/	/	/	/	/

ADDITIONAL REMARKS

--

NARCOTICS AMENDMENT

TO THE

METROPOLITAN WASHINGTON COUNCIL OF GOVERNMENTS'

POLICE MUTUAL AID AGREEMENT OPERATIONAL PLAN

WHEREAS, the local governments in the Washington Metropolitan Area entered into a Police Mutual Aid Agreement (hereinafter called "Agreement") on January 18, 1971; and

WHEREAS, the Agreement provides for the exchange of police in emergency situations; and

WHEREAS, by amendment to Virginia law, and under provisions in existing Maryland and District of Columbia law, narcotics investigators may be exchanged and cross jurisdictional lines on a routine, non-emergency basis for the enforcement of laws designed to control or prohibit the use or sale of narcotics; and

WHEREAS, the Operational Plan to the Agreement must be amended to provide the conditions for exchange of narcotics investigators and the operating procedures to be followed,

NOW, THEREFORE, THE PARTIES HERETO DO AGREE AS FOLLOWS:

Under special amendment to the Virginia Police Mutual Aid Law, and within the existing provisions of the District of Columbia and Maryland Police Mutual Aid Laws, narcotics investigators may be exchanged and may cross state lines for the enforcement of laws designed to control or prohibit the use or sale of narcotics. This may be done on a routine, non-emergency basis. All other police activities remain subject to the emergency only provisions of the Police Mutual Aid Agreement in effect in the Washington Metropolitan Area.

I. Conditions for Interdepartmental Transfer of Personnel

- A. Determination by a jurisdiction party to this Amendment that there is a need for narcotics investigators which cannot be met through use of its own narcotics personnel. Said jurisdiction then may request such persons from other jurisdiction(s) signatory to the Police Mutual Aid Agreement which have approved this Amendment to the Agreement's Operational Plan.
- B. The official, or his designee, authorized by the parties to the Police Mutual Aid Agreement to request assistance, shall do so by contacting the individual(s) in the jurisdictions designated in Attachment "B".
- C. A request for assistance shall be made in writing on official letterhead. In the event such assistance is needed immediately, a telecommunication can initiate such action to be followed by the written confirmation.
- D. The request for assistance shall state:
1. The reason for the investigation.
 2. The number of narcotics investigators requested.
 3. Equipment, if needed.
 4. The name and location of the ranking officer to whom the narcotics investigators shall report.
 5. The name and location of the ranking officer in the assisting jurisdiction to whom all contacts shall be addressed.

- E. The assisting narcotics investigators shall be used in the following ways:
1. The assisting jurisdiction which supplies narcotics investigators shall provide for their salary and benefits.
 2. The requesting jurisdiction shall supply equipment and any monies necessary for the successful operation of the investigation.
 3. The officer in charge of the assisting jurisdiction's narcotics division shall determine the number of narcotics investigators which may be dispatched and shall inform his Chief of Police monthly of the extent of such operations. The Chief shall be advised as to the number of his men assisting other jurisdictions and the number of men giving assistance in his jurisdiction.
 4. The assisting narcotics investigators shall report to and shall be under the command of the ranking officer named in the request. This officer is responsible for informing the officer-in-charge of the assisting jurisdiction's narcotics division of the quality of service being rendered. He shall also keep a record of the narcotics investigator's work time and send such information to the assisting jurisdiction so that employment benefits are maintained.
 5. Whenever possible, assisting narcotics investigators shall be responsible to a single supervisor. If this is not possible, the ranking officer in the requesting jurisdiction shall determine how supervision is to be arranged.

F. Term of Assistance. The assisting narcotics investigators shall serve at the discretion of the requesting jurisdiction. The assisting jurisdiction may unilaterally withdraw its personnel at any time after formally notifying the requesting jurisdiction of such action.

II. General Operating Procedures

- A. When a narcotics investigator crosses a jurisdictional line for the purpose of buying illicit drugs, without the prior knowledge and consent of the entered jurisdiction, he shall report his activities to the officer-in-charge of the narcotics division in his jurisdiction who shall then inform the officer-in-charge of the entered jurisdiction's narcotics division as soon as practicable but no later than twenty-four hours thereafter.
- B. The assisting narcotics investigator shall have the use of deadly force only in defense against an attack that may result in death or serious bodily injury to the officer or to an innocent bystander.
- C. The assisting narcotics investigator shall not become involved with matters other than those pertaining to possible violations of narcotics laws.
- D. A narcotics investigator shall not make arrests outside his jurisdiction when conducting general investigative activities.

Attachment "B"

Initial contacts regarding narcotics assistance shall be made between and among the narcotics divisional officers-in-charge.

JURISDICTION

OFFICER-IN-CHARGE

District of Columbia

Prince George's County, Maryland

Montgomery County, Maryland

Fairfax County, Virginia

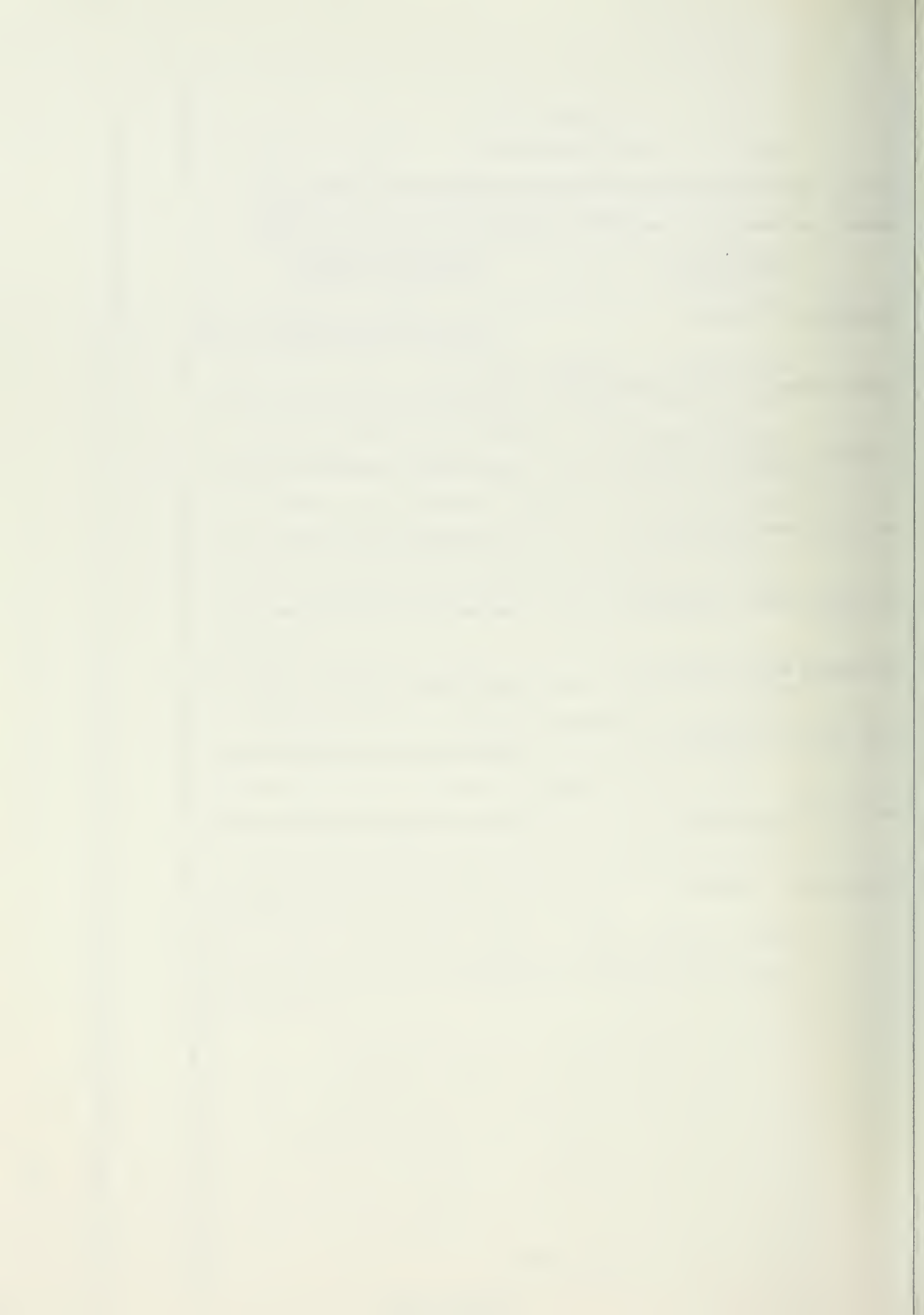
Arlington County, Virginia

Alexandria City, Virginia

Falls Church, Virginia

Fairfax City, Virginia

Takoma Park, Maryland



APPENDIX V

Personal History Card

Personal History Statement

Qualifications Appraisal Guide

Guide to Performance Evaluation

Position of Police Services Technician

Commendation Procedure

Grievance Procedure

Field Training Guide

NAME _____ PHONE _____ CHANGE IN PHONE _____
 ADDRESS _____ BIRTHPLACE _____

CHANGE IN ADDRESS _____
 DATE OF TERMINATION _____ REASON FOR TERMINATION _____

DEPENDENTS: (Name, relationship, address)

EDUCATION
 Grade School Completed: Yes _____ No _____
 High School Diploma: Yes _____ No _____
 G. E. D.: Yes _____ No _____
 Year of Grade School Completed _____
 Year of High School Completed _____
 University Degree _____ Major _____
 Attended University: Yes _____ No _____ Total Credits _____

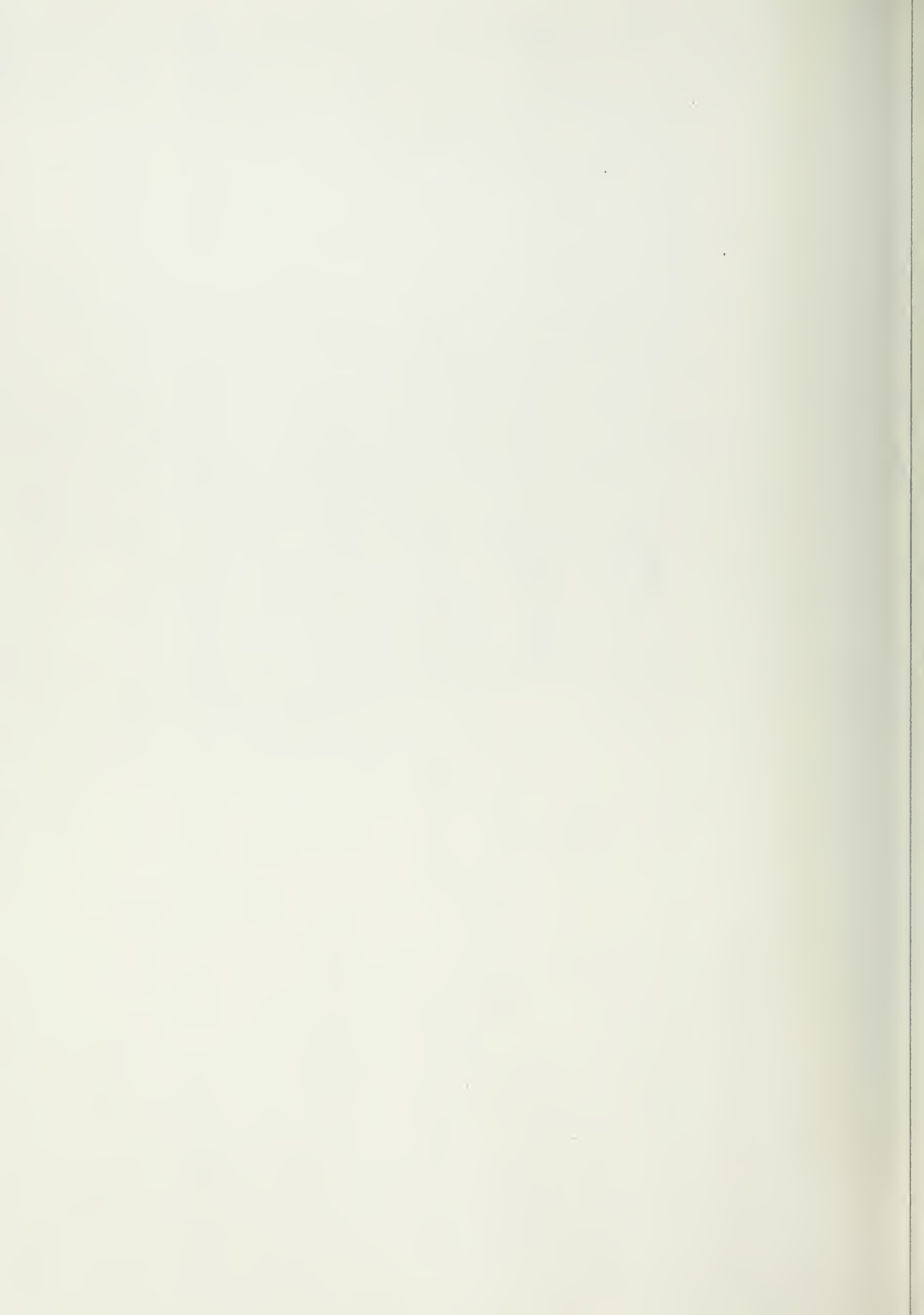
CIVILIAN OCCUPATIONS _____ DATES EMPLOYED _____

HOBBIES AND SPORTS (List Degree of Proficiency)

COMMENDATIONS _____ NATURE _____ DATE _____

VIOLATION OF RULES AND REGULATIONS _____ Action Taken _____ Date _____
 Violation Case No. _____

CHANGES IN RANK	Date	From	To
PHYSICAL STATUS			
Ht.	Wt.	Hoir	Eyes
Blood Type		Complexion	
ASSIGNMENT LIMITATIONS			
SPECIAL SKILLS AND TRADES			
CREDIT RATINGS AND COMPLAINTS:			
Rating		Complaint	
EVALUATION AND EFFICIENCY RATINGS			
Date	Grade	Date	Grade
VIOLATION OF RULES AND REGULATIONS			
Violation	Case No.	Action Taken	Date



PERSONAL HISTORY STATEMENT

Position for position of: _____ Date: _____

GENERAL INSTRUCTIONS: Hand write or hand print an answer to every question. If question does not apply to you, so state with N/A. If space available is insufficient, use a separate sheet and precede each answer with the number of the referenced block.
DO NOT MISSTATE OR OMIT material fact since the statements made herein are subject to verification to determine your qualifications for employment.

1. LAST NAME FIRST NAME MIDDLE NAME 2. MALE FEMALE

ALIAS(ES), NICKNAME(S), MAIDEN NAME, OTHER CHANGES IN NAME TELEPHONE (AREA) NUMBER

PRESENT RESIDENCE ADDRESS STREET OR RFD / CITY OR POST OFFICE / STATE ZIP CODE

DATE OF BIRTH (month, day, year) PLACE OF BIRTH (City, County, State) Attach photostatic copy of birth certificate or baptismal certificate.

HEIGHT WEIGHT COLOR OF EYES COLOR OF HAIR SCARS, PHYSICAL DEFECTS, DISTINGUISHING MARKS

CITIZEN NATIVE NATURALIZED, CERTIFICATE NO. IF DERIVED, PARENT'S CERTIFICATE NO. DATE, PLACE, AND COURT
 YES NO

MARRIAGE STATUS: SINGLE ENGAGED SEPARATED DIVORCED WIDOWED
 NAME OF FIANCEE (if applicable) ADDRESS (Street, City, State)

Information concerning marriages:

WHEN	WHERE	WHO OFFICIATED	SPOUSE'S NAME (Wife's Maiden Name)

And present address of spouse(s) if divorced or separated:
 Address _____
 Address _____

When separated, annulled, or divorced, indicate below the following information:

SEPARATED, ANNULLED OR DIVORCED (DATE WHICH)	DATE OF ORDER OR DECREE	BY WHOM	WHERE ISSUED (COURT & STATE)	OFFENDING PARTY AS DECREED BY LAW	REASON

CHILDREN AND DEPENDENTS:
 List all of your children, including stepchildren and adopted ones, and give the following information:

NAME	BIRTH		RESIDENCE		SUPPORTED BY WHOM
	DATE	PLACE	ADDRESS	WITH WHOM	

Other dependents. If you claim income tax exemptions for support of dependents other than spouse and children, provide the following information:

NAME	ADDRESS	RELATIONSHIP	PERCENT SUPPORT PROVIDED

SPECIAL QUALIFICATIONS AND SKILLS:

State type of special license such as pilot, radio operator, etc., showing licensing authority, where the license was first issued, and date current license expires. (Except vehicle operator's license).

Special skills you possess and machines and equipment you can use. (For example, short wave radio, multilith, comptometer, key punch, turret lathe, copying machine, scientific or professional devices.)

Approximate number of words per minute: Typing _____ Shorthand _____

Special qualifications not covered in application. (For example, your most important publications (do not submit copies unless requested); your patents and inventions; public speaking and publications experience; membership in professional or scientific societies, etc.; and honors and fellowships received.)

VEHICLE OPERATOR'S LICENSE (Driver's, Chauffeur's, etc.). Give the following information concerning any vehicle operator's license you have held:

KIND OF LICENSE	PLACE OF ISSUE	DATE OF EXPIRATION	RESTRICTIONS

Have you ever been denied issuance of a license or have you ever had a license suspended or revoked? Yes No
 Explain fully _____

Have you ever had automobile insurance withdrawn or revoked or have you ever been refused automobile insurance? Yes No
 If yes, give details, including reasons, names of companies, dates, etc. _____

Give name and address of the insurance company with whom you now have automobile insurance. _____

Policy coverage. _____

FAMILY:

List in the order given, showing relationship, parents, guardians, stepparents, foster parents, parents-in-law, brothers, and sisters, even though deceased. Include any others you have resided with or with whom a close relationship existed or exists.

RELATIONSHIP	NAME	PRESENT ADDRESS IF LIVING
FATHER		
MOTHER (MARRIAGE NAME)		

If any person listed above is not a U.S. citizen by birth, give the date and place of his birth, the date and part of entry, alien registration number, naturalization certificate number, and place of issuance.

EMPLOYMENT: Begin with your most recent job and list your work history for the past TEN years, including part-time, temporary or seasonal employment, and all periods of unemployment.

START DATE	NAME AND ADDRESS OF EMPLOYER	WHY WOULD YOU LEAVE?	JOB TITLE
		DESCRIPTION OF YOUR DUTIES	
		NAME OF SUPERVISOR	NAME OF CO-WORKER

FROM DATE	NAME AND ADDRESS OF EMPLOYER	WHY DID YOU LEAVE?	JOB TITLE
TO DATE		DESCRIPTION OF YOUR DUTIES	
SALARY		NAME OF SUPERVISOR	NAME OF CO-WORKER
FROM DATE	NAME AND ADDRESS OF EMPLOYER	WHY DID YOU LEAVE?	JOB TITLE
TO DATE		DESCRIPTION OF YOUR DUTIES	
SALARY		NAME OF SUPERVISOR	NAME OF CO-WORKER
FROM DATE	NAME AND ADDRESS OF EMPLOYER	WHY DID YOU LEAVE?	JOB TITLE
TO DATE		DESCRIPTION OF YOUR DUTIES	
SALARY		NAME OF SUPERVISOR	NAME OF CO-WORKER
FROM DATE	NAME AND ADDRESS OF EMPLOYER	WHY DID YOU LEAVE?	JOB TITLE
TO DATE		DESCRIPTION OF YOUR DUTIES	
SALARY		NAME OF SUPERVISOR	NAME OF CO-WORKER
FROM DATE	NAME AND ADDRESS OF EMPLOYER	WHY DID YOU LEAVE?	JOB TITLE
TO DATE		DESCRIPTION OF YOUR DUTIES	
SALARY		NAME OF SUPERVISOR	NAME OF CO-WORKER
FROM DATE	NAME AND ADDRESS OF EMPLOYER	WHY DID YOU LEAVE?	JOB TITLE
TO DATE		DESCRIPTION OF YOUR DUTIES	
SALARY		NAME OF SUPERVISOR	NAME OF CO-WORKER
FROM DATE	NAME AND ADDRESS OF EMPLOYER	WHY DID YOU LEAVE?	JOB TITLE
TO DATE		DESCRIPTION OF YOUR DUTIES	
SALARY		NAME OF SUPERVISOR	NAME OF CO-WORKER

Have you ever been discharged, asked to resign, furloughed, or put on inactive status for cause, or subjected to disciplinary action while in an occupation (except military)? Yes No If yes, state circumstances. _____

Have you ever resigned (quit) after being informed your employer intended to discharge (fire) you for any reason? Yes No If yes, explain, giving name and address of employer, approximate date, and reasons in each case. _____

FINANCIAL STATUS:

Income from any source other than your principal occupation? Yes No How much?
 How often? _____ The source? _____

Do you own any real property? Yes No Value: \$ _____
 Location: _____

Life insurance coverage and amount of premium? _____
 Amount of mortgage? _____ Amount and frequency of payments: _____
 Mortgage holder: _____

Do you own any bonds, government or other? Yes No Value: \$ _____

Do you own any stock? Yes No Value: \$ _____

Do you have a bank account? Savings Checking Approximate amount: \$ _____
 Name of Bank: _____

List the names and addresses of the individuals, companies, or others to whom you are indebted and the extent of your debt (including any loans on which you are co-maker).

NAME AND ADDRESS OF CREDITOR	KIND OF DEBT	AMOUNT

ARREST, DETENTION, AND LITIGATION: (Show all arrests including juvenile delinquent and traffic.)

Have you ever been arrested or detained by a law enforcement agency? Yes No

Have you (or your spouse) been involved in any court action, CIVIL or CRIMINAL? Include all traffic violations, parking, etc., in this state or elsewhere. Yes No

Have you ever been fingerprinted for any reason (arrest, job applicant, etc.)? Yes No

If answer to any of the above questions if YES, list below the date, place, and full details of each incident.

HEALTH RECORD AND INSURANCE:

Health record. List the following information concerning all illnesses for which you received medical treatment during the last 5 years.

DAYS	ILLNESS OR OPERATION	MONTH AND YEAR	NAME AND ADDRESS OF PHYSICIAN

Number of days you have been ill during the past 5 years in addition to that listed above.

Have you ever been examined or treated for any mental disorder? Yes No

Has any member of your family ever had, or been tested for a nervous or mental disorder? Yes No

Do you have any physical handicap, chronic disease, or disability? Yes No

Have you ever had a nervous breakdown? Yes No Have you ever had tuberculosis? Yes No

REFERENCES:

LIST AND CHARACTER REFERENCES (Do not include relatives, former employers, or persons living outside the United States or its Territories). Only character references who have definite knowledge of your qualifications and fitness for the position for which you are applying. Do not list names of supervisors. List 3 credit and 5 character references.

NAME	YEARS KNOWN	ADDRESS (BUSINESS ADDRESS PREFERRED)		
		STREET	CITY	STATE

FOREIGN TRAVEL: Exclude trips of less than 30 days to Canada or Mexico AND foreign travel as a direct result of U. S. military duties.

DATES		COUNTRY VISITED	PURPOSE OF TRAVEL
	TO		

PAST AND/OR PRESENT MEMBERSHIP IN ORGANIZATIONS:

NAME AND ADDRESS	TYPE (SOCIAL, FRATERNAL, PROFESSIONAL, ETC.)	OFFICE HELD	MEMBERSHIP	
			FROM	TO

HOBBIES AND SPORTS:

NAME	LENGTH OF PARTICIPATION	LEVEL OF PROFICIENCY

SUBVERSIVE ORGANIZATIONS:

NO

Are you now or have you ever been a member of the Communist party U. S. A. or any Communist organization(s) anywhere?

Are you now or have you ever been a member of a Fascist organization?

Are you now or have you ever been a member of any organization, association, movement, group or combination of persons which advocates the overthrow of our constitutional form of government, or which has adopted the policy of advocating or approving the commission of acts of force or violence to deny other persons their rights under the Constitution of the United States or which seeks to alter the form of government of the United States by unconstitutional means?

Are you now or have you ever been affiliated or associated with any organization of the type described above, as an agent, official, or employee?

Are you now associating with, or have you associated with any individuals, including relatives, who you know or have reason to believe are or have been members of any of the organizations identified above?

Have you ever been engaged in any of the following activities of any organization of the type described above: Contribution(s) to, attendance at or participation in any organizational, social, or other activities of said organizations or of any projects sponsored by them; the sale, gift, or distribution of any written, printed, or other matter, prepared, reproduced, or published, by them or any of their agents or instrumentalities?

In any of the answers above, describe the circumstances. Attach additional sheets for a full detailed statement. If associated with any of these organizations, specify nature and extent of association with each, including office or position held, also include dates, places, and credentials now or held. If associations have been with individuals who are members of these organizations, then list the individuals and the organizations with which they were or are affiliated.

28. Are there any incidents in your life not mentioned herein which may reflect upon your suitability to perform the duties which you may be called upon to take or which might require further explanation? Yes No If YES, give details.

29. Have you ever applied for a position with any other governmental agency? Yes No If so, give details.

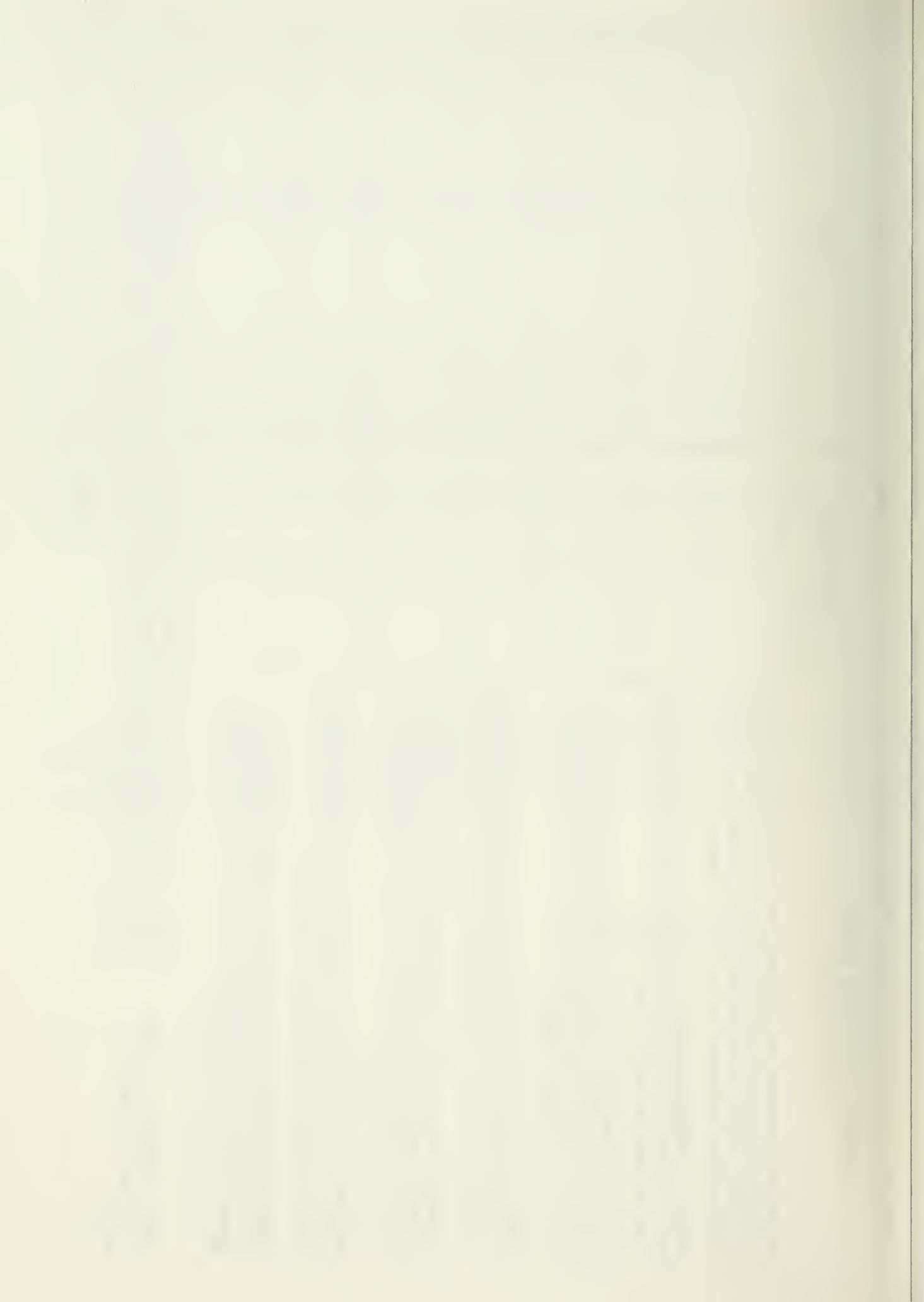
30. REMARKS:

I certify that there are no misrepresentations, omissions, or falsifications in the foregoing statements and answers, and that the entries made by me are true, complete, and correct to the best of my knowledge and belief and are made in good faith.

I further agree and consent in advance to being summarily discharged without cause or hearing if any of the above information contains any misrepresentation or falsification or if any material information has been omitted.

SIGNATURE OF APPLICANT

DATE



GUIDE TO PERFORMANCE EVALUATION

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Part 1 - Performance Evaluation

The service rating has been a hotly debated topic in personnel administration. Employees generally dislike being rated, many times justifiably, because of the methods used. Conversely, supervisors often resent the hard work and unpopularity which can accrue to them as a result. There are almost as many rating systems as there are agencies to use them. Professional personnel officers disagree on methods and objectives, to add to the confusion.

Authorities have often listed numerous objectives which are seldom achieved. Some personnel officers claim that ratings are intended to:

- Keep employees informed of what is expected of them and how well they are performing.
- Recognize and reward good work.
- Help supervisors recognize weaknesses and give them the opportunity to remedy deficiencies.
- Identify employees who should be given specific types of training and identify general training needs.
- Provide a continuing record of an employee's performance history.
- Guide decisions to be made in matters of promotions, transfers, layoffs, and other personnel transactions.
- Help determine if an employee will be given an in-grade pay increase.
- Verify performance standards.
- Check accuracy of job descriptions and classifications.
- Verify the accuracy and effectiveness of recruitment and examination procedures.

All of these are worthwhile administrative objectives and it might be thought that ratings of employees would be welcomed by everyone concerned. However, personal and emotional considerations have significantly reduced the value of such systems. Furthermore, a perfect rating system has not yet been devised.

The importance attached to a good personnel evaluation system can be brought out by quoting one personnel director in a large municipal agency who states flatly:

"The development of an adequate employee evaluation plan is the primary task of modern personnel administration. While this may be overstated, there is no question but that employee performance rating is one of the areas of greatest challenge to the personnel administrator. His job is not made any easier by the many differences of opinion, within the personnel field itself, as to objectives and methodology. In fact, according to some authorities, there has been an increase in the number of 'appraisal plan debunkers' who, discouraged by the complexities involved, have recommended that all employee rating devices be scrapped as obsolete."

Over the past five years there have been some definite trends in the field of performance evaluation. The first is that there has been more thoughtful consideration of the philosophy, purposes and principles of performance ratings. For example, one writer points out that the interview between the employee and the supervisor is more important to the procedure than any other aspect, and further, that it calls for sincerity more than technique.

The second trend is to avoid the use of the performance rating system for a multiplicity of purposes (such as those listed on the previous page.) The system based on multiple objectives will likely fail. As indicated previously, in the past it has been fashionable to enumerate many possible objectives of employee evaluation—to facilitate merit increases, promotion, transfer, demotion, discharge, rehire, references, motivation, employee training, supervisory training, personnel research, talent hunts, and many others. But there is increasing recognition that an evaluation method can be developed as an administrative tool, or as a supervisory tool, but it is unlikely that it can function to its optimum in both capacities. Clifford E. Jurgensen states that the use of a particular evaluation method as a supervisory tool requires an ability to evaluate accurately; and that its use as an administrative tool also requires willingness to evaluate accurately. The second of these, he states, is too often assumed or overlooked and as an example he refers to the frequent complaint that appraisals show little differentiation between employees in the face of positive knowledge that the supervisors are fully capable of such differentiation.¹

¹ Jurgensen, Clifford E., Part I, Employee Performance Appraisal Re-examined, Public Personnel Association Report No. 613, 1963, p. 4.

A third trend is the shift away from rating subjective or personal traits, and toward rating objective and more easily observed characteristics. One writer, for example, stated that while managers were effective in recognizing failures in planning and scheduling, or the existence of excessive grievances or low morale, or that operating costs were too high, they had considerably more difficulty diagnosing the underlying causes of performance failures, and that their diagnoses were, at best, near guesses and assumptions which could not be translated easily into effective counseling.

Fourth, there is now a tendency to regard performance evaluations for what they are, as opinions and attitudes rather than as physical science measurements. Some of the former stress on trying to shroud opinion, or to systematize it, is being eliminated. George N. Beck of the Los Angeles Police Department writes, "Rather than to compensate for the subjective nature of ratings, observers in the field have begun to recognize that the main justification for ratings resides in this quality that does not lend itself to testing."²

The IACP System

The performance evaluation system recommended by IACP provides for the rating of both sworn personnel and civilians, including supervisors with the rank of captain or below, semi-annually. The system is an adaptation of a procedure published by the Public Personnel Association in 1965. It takes into account the most recent trends in the field of employee evaluation:

- The system avoids the confusion caused by multiplicity of purposes. It has only one definite objective in mind—to inform the employee of his standing, with intent to improve his performance or to sustain performance which is already superior.
- Summary or numerical ratings have been eliminated. It will not be possible with the use of this form to categorize an employee as "Excellent," "Above Average," "Average," and so forth. The system should not be used for any administrative action except that it should substantiate and certainly not contradict decisions made to discipline or terminate an employee because of poor performance.
- Factors are designed to help form opinions about performance, rather than intangible qualities.
- Ample provision is made for explanatory comments.

² Beck, George N., Municipal Police Performance Rating, Journal of Criminal Law, Criminology and Police Science, Vol. 51, Jan-Feb. 1961, p. 567.

- An employee interview is a major feature.
- Explanatory material is a part of the package to be given to raters at the beginning of each rating period.

Training in performance evaluation is logically a part of in-service supervisory training. Also, some of the techniques used in performance evaluations, particularly in employee interviewing, are applicable to general supervision. The subject matter can be covered in about five classroom hours:

History of performance evaluation and discussion of various systems	1 hour
Philosophy and objectives of the recommended system	1 hour
Procedure, including explanation of evaluation factors, employee interviews, and completion of the form	2 hours
Promotional potential ratings	1 hour

Control over supervisors' evaluations and comments should be a primary responsibility of line commanders rather than the personnel officer within the police department, since limited administrative use of the system is recommended. A copy of the rating form should be retained at the division level until the subsequent rating period, and then discarded. A copy of the form should be routed through channels to the personnel office as a staff control. Evaluation reports should be placed in employee personnel files for a maximum of two years. Reports more than two years old should be discarded to avoid clogging the files.

The Purpose of Performance Evaluation

Basically, the purpose of performance evaluation is to improve employee performance. In addition, most supervisors realize that one of the major sources of job satisfaction for an employee is for him to know the work he does is considered worthwhile and essential—to know his efforts to do the job are appreciated and accepted as an important part of the progress of the department's work objectives; and above all to know whether or not he is performing his job correctly.

Job Performance Standards

Few police departments have developed job performance standards in written form. However, most supervisors have a great many unwritten standards in mind, often without knowing it. If you did not have such standards you would have no basis for drawing the conclusion that an officer's work was well done, or it was not properly done.

Although there is often a surprising amount of agreement among supervisors as to what constitutes "good" performance, standards are not mutually understood by supervisors and employees in many cases.

In police work the establishment of written standards for all conceivable tasks is not warranted because of the complex nature and wide variety of tasks performed. However, supervisors' concepts of standard performance for many factors will tend to become uniform and adequate with greater experience in rating their subordinates and close review by their common reviewing superiors.

Listed below are three definitions of job performance standards. Although the wording of each definition is different, the ideas are the same. A joint reading of all these definitions may provide a better picture of job performance standards.

1. A description of how well an employee must do the duties of his position in order to do them in a fully satisfactory manner.
2. A description of the performance expected by management in a particular job.
3. A statement of what an employee in a specific job, under existing working conditions, must do in order for management to be satisfied with his performance.

If we incorporate all these ideas into one definition, it might read as follows:

"Job performance standards are descriptions of how well an employee must do the specific tasks of his position under existing working conditions, if he is to do his job in a manner satisfactory to management."

The establishment of job performance standards is a means of letting the employee know just what constitutes satisfactory or "standard" performance of the tasks in his specific job. The foundation on which performance standards are based is that each employee is entitled to know, and must know if he is expected to do his best work, what he is expected to do and what constitutes a job well done. Job performance standards are simply statements of these points. They are yardsticks for measuring performance. The "factor definitions" furnished later in this guide are intended to assist raters in establishing uniform job performance standards.

Supervision, Training and Performance Evaluation

Too often a service rating or report of performance is thought of as a chore, and usually an unpleasant one. It might help to think of the service rating, or performance report, as an aid to good supervision and training.

Look briefly at your job as a supervisor and see where a more positive use of the performance report can make your work easier. A supervisor is of greatest value in the work of developing his own staff and not in doing the work of his unit. A supervisor usually is not paid the additional salary for doing the job himself. Your greatest value lies in developing your own people to do the job. The major responsibility of a supervisor is to improve the performance of subordinates, both individually and collectively.

It has been said that from 60 to 90 percent of a supervisor's work effort is spent in training or instructing his staff. Training is done in many ways, but the basic principles of teaching are the same. Although supervisors may not have been formally trained as teachers, they are expected to directly apply the principles of teaching.

These simple principles of teaching or training include the following:

1. Explaining
2. Demonstrating
3. Observing performance
4. Evaluating

Examine these four points briefly. You as a supervisor must tell both the new employee and the old employee under your supervision how to do the job. You must then show him exactly how the job is to be done. A supervisor who is a good trainer then has the employee show by doing that he understands what he is to do. Then you as a supervisor examine the results of his effort to determine whether he has learned the lesson. These supervisory principles are applicable to both office and field work.

After you have (1) told an employee how to do the job, (2) shown him the duties, and (3) observed his performance, comes the all important job of (4) reviewing the employee's work and making an evaluation in an objective manner.

Evaluation of the job being done by the employee is one of the most important aspects of your job as a supervisor. It is the means of letting the employee know where he stands. It is the opportunity for you to sit down with the employee and discuss his job performance with him. The interview period for review of your evaluation and analysis furnishes an opportunity for further training of the employee.

Often a supervisor's work can be made easier if he can demonstrate to the employee that his work is being considered fairly and objectively. To achieve this goal is one of the increases his own satisfaction of the work done as well as creating respect in his mind for the supervisor who treats him fairly and impartially. Planned, careful use of performance evaluation can help you to achieve this.

Before You Begin the Evaluation (Do the following each time a rating is to be made.)

1. Familiarize yourself with the contents of the evaluation form. Analyze its general scope as well as the detailed instructions.
2. Understand thoroughly the duties and requirements of the particular position held by the employee to be rated—it will be helpful to review the Job Class Description on file in division offices. Additional copies are available in the Personnel Division.
3. Use a process of objective reasoning, eliminating personal prejudice, bias, or favoritism. For example, don't allow your own personal likes or dislikes of certain mannerisms or aspects of personal appearance blind you to the more important measures of competency or effectiveness.
4. Don't assume that excellence in one factor implies excellence in all factors. Observe and analyze the employee's performance objectively in terms of each factor listed on the rating form.

5. Base your judgment on demonstrated performance—not on anticipated performance. The evaluation is to be based on what has happened, not what might develop.
6. Evaluate on the experience of the entire rating period—it is better not to consider only single accomplishments or failures, or the most recent performance. Neither should important single instances of faulty or brilliant performance be ignored. They should be considered in context with the total performance for the period.
7. Consider seniority apart from performance—an employee with a short service record may not necessarily be less effective than one with a longer term of employment. Seniority does not guarantee superiority.
8. Consider the requirements in terms of the level of the position—a beginning clerk may very well be meeting the requirements of her position more effectively than her immediate supervisor does in his position in a higher classification.
9. Spaces have been provided on the performance evaluation report forms for additional factors you consider important enough to be included in the overall appraisal of the employee. Examples of such additional factors are given in paragraphs 24 and 34 in the section of definitions.

Evaluating the Probationary Employee

For probationary employees, the rater must, on the final probationary evaluation, check and sign the statement on the form as follows:

I do (do not) recommend this employee be granted permanent status.

The probationary, or working test period, is the final and most important stage in the selection process of quality employees. By the end of the probationary period, supervisors should have complete confidence that the probationary employee being evaluated fully meets or exceeds performance standards in every important factor if he is to be recommended for permanent status.

It should be noted that probationary employees may be released or demoted at any time without appeal, if, in the judgment of the department head, their dismissal or demotion is in the best interests of the department. Should the supervisor have a question in his mind as to the general fitness of the probationary employee for the position, he should

seriously consider the consequences of burdening the department with an employee who may be a net liability rather than a net asset. He should also consider the possibility that it would be a disservice to the employee to retain him in a position for which he is poorly suited or altogether unsuited, thus directing him away from seeking a more productive and rewarding type of employment.

In deciding whether a probationary employee should be dismissed or granted permanent status, the supervisor might well consider that the average permanent employee remaining thirty years in departmental service will be paid more than \$150,000 during that time. The supervisor should ask himself if this employee represents a sound, long-term investment of such magnitude.

Evaluating the Supervisor

There are various levels and types of supervisory activity within the organization. It is important, when rating a particular supervisor, to understand how and to what degree each of the factors applies to him.

Who is to be rated as a supervisor? For evaluation purposes, a supervisor is one to whom the responsibility has been delegated to evaluate other employees. This definition will necessarily eliminate a number of persons who, while they may direct some activities or provide a degree of technical supervision over other employees, have little or no authority to exercise control over other employees or direct responsibility for the results of their work. For the purposes of this report, an employee who is not delegated the responsibility to complete and sign evaluation reports on other classified employees should not be evaluated as a "supervisor."

How to Proceed

- Choose a quiet place where you can work without interruption for a period of time, and where unauthorized persons will not see the forms.
- Mark lightly in pencil each factor in Section A. You may later agree to changes after conferring with the reviewer. However, the report should be typed or written in ink before the employee interview, and any changes, corrections, or deletions on the report must be initiated by the employee.
- Be generous in rating the best of the employee's qualities, but be severe in rating weaknesses. Don't create over-confidence in an employee when improvements are really needed. Trying to avoid an unpleasant situation or risk of losing the employee's friendship by over-rating him is unfair, both to him and to the department.

- Use the spaces for comments—Thoughtful comments give the most complete picture of the employee's performance. Note that check marks in columns 1 and 2 require specific written explanations in Section E for each factor thus checked. Use attachments if you find there is insufficient space for your comments.
- Consider unusual circumstances such as employees you have observed for short periods, employees who have done poorly as a result of temporary ill-health or other unavoidable conditions. In all unusual circumstances, evaluate the actual work performance, but comment fully to indicate reasons.
- It should be borne in mind that before probationary or permanent employees can be properly released for reasons of unsatisfactory performance, there must be documented evidence of a specific nature. Performance Evaluation Reports are intended to provide a written record of specified deficiencies during and/or at the close of the rating period in which the deficiencies were observed. Employee deficiencies affecting job performance which are not recorded on the Performance Evaluation Report cannot properly be used as a basis for dismissal.
- Special, unscheduled reports—In some cases, and particularly for permanent employees, additional warnings in the form of unscheduled reports may be required before recommendations for demotion or dismissal are made.

The Evaluation Interview

- Review your initial evaluation of the employee's performance, and consider why you evaluated his work as you did.
- Determine what you want to accomplish in the interview and plan your discussion accordingly. You should have as your main objectives an improvement in the employee's performance and will to work. If these are already superior, the objective shifts to one of commendation and maintenance of excellence.
- Plan to meet in private. If this is the employee's first evaluation interview, anticipate curiosity, tension, or anxiety, and be prepared to minimize them.
- Create the impression that you have time for the interview and that you consider it highly important.

- Make the employee feel that the interview is a constructive, cooperative one, by placing primary interest upon his development and growth. Tell the employee that the main purposes of the report are to inform him of your opinions of his performance, to improve his performance when possible and to sustain superior performance.
- Be open minded to the opinions and facts presented by the employee. Be willing to learn about him. Don't dominate or cross-examine. Avoid argument. Remember that the employee must do most of the talking at some points of the interview:
 - a. In bringing his opinions and feelings to the surface and to your attention.
 - b. In gaining a better understanding of himself.
 - c. In identifying his own areas of needed or potential improvement and in making plans for their accomplishment.
- Pick the right day, time, and place. Don't conduct the interview too soon after a disciplinary action or reprimand. Pick a time when you are in a good mood and when you have reason to believe the employee feels likewise.
- Talk about the employee's strengths first, covering each point in some detail. This helps start the interview off on the right foot. Remember that the aim is to encourage or sustain high quality performance, not to reprimand the employee.
- While building upon the employee's strengths, do not fail to discuss his weaknesses or failures and how he can prevent or curtail them in the future. Here introduce your suggestions for a specific improvement program. Remember, if you don't show the employee how he can improve his work performance then you are not doing your full job as a supervisor.
- You should close when you have made clear whatever points you intended to cover; when the employee has had a chance to review his problems and release any emotional tensions that may exist; when plans of action have been cooperatively developed; and when you and the employee are at a natural stopping point. Always reassure the employee of your interest in his progress, and indicate willingness to take up the discussion again at any time.

Duties of the Reviewing Officer

No doubt there will be an occasion when the employee will not agree with all or a part of the evaluation made by the supervisor. The employee may request that he be allowed to discuss his report with the reviewing officer.

In the same space provided for the employee's signature on the form, there is a statement which reads, "I understand my signature does not necessarily indicate agreement." If the employee wishes, he may check the box found in this same space alongside a statement which reads, "I wish to discuss this report with the reviewer."

After such request has been indicated by the employee, the reviewing supervisor will make arrangements for this meeting as soon as possible (within 15 calendar days).

The responsibilities of the reviewing officer include:

1. Thorough efforts to obtain uniformity in the application of standards by the supervisors under his direction.
2. Securing corrective action when bias or a misinterpretation of standards is evident.
3. Making sure reports are completely, promptly, and thoroughly prepared.
4. Discussing the report with the rater, and with the employee when requested, or when otherwise appropriate.
5. Striving to make the rated employee understand and recognize the validity of the rater's markings.
6. Checking the statements made in the comments section to see that the reasons are specific, substantial, and accurate.

Factor Definitions and Guides for Use

Performance factors listed in Section A are defined below and guideline questions for each factor provided. Each factor should be checked in relation to the individual employee's duties and amount of responsibility. Raters should not assume that all of the factors are of equal importance. The degree of importance in each factor will vary

according to the requirements of each employee's job. For example, "Effectiveness Under Stress" or "Suspect Contacts" may be of crucial importance in one position and relatively insignificant in another. Raters will find, however, that the first four factors listed do have the same degree of importance in any position, and employees should be evaluated accordingly.

NOTE: On the first five factors in Section A, Column 4 (Exceeds Standards) has been blocked out. These factors are considered absolutes—an employee either meets required standards or he does not. Column 5 (Does Not Apply) has been blocked out on the first four factors. All four factors apply to all employees, and therefore no option is provided.

1. Observance of Work Hours: Refers to punctuality in reporting to or leaving a duty station in accordance with the prescribed schedule of working hours, breaks, or leaves of absence. Can the employee be relied upon to be working when and where he is supposed to be?
2. Attendance: Reflects absences from duty for any reason. This factor introduces the opportunity for necessary or desirable counseling of an employee regarding his improper or excessive use of leave privileges, especially if his attendance has become unreliable. If sick leave use has been greater than the norm, should the employee seek medical care? Is there a Friday-Monday or holiday pattern of sick leave use? Have continued absences been costly to the department or harmful to the morale of co-workers who may have been required to carry extra loads?
3. Grooming and Dress: An appropriate type of dress and standard of good grooming is required in every position. Does the employee meet the standards of dress commensurate with the degree of public or employee contacts he makes? Is his uniform consistently clean, neat, and in good repair?
4. Compliance with Rules: Members of the department are subject to rules and regulations. Failure to observe reasonable directions and regulations is listed as a reason for disciplinary action. Does the employee consistently comply with rules and regulations applicable to him and his job?
5. Safety Practices: Nearly all employees, even those who do not work under physically hazardous circumstances, must comply with reasonable safety practices, particularly in situations involving the public. These practices may reflect specific supervisory directives, or simply forethought for potentially dangerous conditions and the use of good common sense. Does the employee endanger his own safety or the safety of others by his actions? Does he help to prevent accidents by practicing good safety procedures?

6. Public Contacts: Refers to all public contact made through personal or telephone conversation, correspondence, and day-to-day appearance before the public. Does the employee's exposure to the public eye and ear reflect credit on the department and promote a good public image? Is the employee courteous and discreet in his public contacts and behavior? Is he aware of the necessity to present a consistently good appearance on the public?

7. Suspect Contacts: As with public contacts, this factor may not apply to some employees and yet may be extremely significant in the cases of other employees. Is the employee too harsh or too timid with suspects or prisoners? Is his attitude or behavior toward suspects or prisoners detrimental to security, a good image, or investigative efficiency?

8. Employee Contacts: Reflects only those contacts which either improve or reduce the effectiveness of the employees involved. It does not apply to an employee's personal popularity or lack of it. Does he mind his own business, but at the same time have a proper concern for the problems of other employees whose jobs touch his? Is he a disruptive influence? Does he bother or embarrass others with his personal problems? Is he a positive influence on the morale of others?

9. Knowledge of Work: This factor should not be confused with, or restricted to, the technical knowledge an employee is required to bring to a specialized job class. (See Job Skill Level, factor 12). It is much broader and includes particularly the range of pertinent policies, regulations, and procedures relating to his assignment. Has the probationary employee acquired an acceptable working level of job knowledge?

10. Work Judgments: Every employee makes decisions depending upon the degree of responsibility assigned in his position. Does the employee make a minimum of poor judgments in the course of his work? Is he consistent and reliable in his judgments? What effect do his judgments have on the quantity and quality of work produced by himself and by others?

11. Planning and Organizing: Measure the manner and method in which an employee approaches his assigned duties, and how successful his planning and organizing is in achieving desired results. Does the employee take time to plan the sequence of steps required in carrying out his tasks? Or does he attack the job thoughtlessly or with such blind enthusiasm that waste and mistakes result or work deadlines are missed? Does he make allowances in organizing the job so that all foreseeable circumstances are properly taken into account? Does lack of planning or poor organizing indicate reasons for low production or poor quality of work?

12. Job Skill Level: (Mainly for civilian or technical assignments.) This factor relates particularly to the mental and/or manual skills required in a given position. A craftsman's basic skills are readily identified, while many police assignments include job skills which are relatively obscure. Does the employee consistently demonstrate at a proper level the skills prerequisite to entry in the job class? Has he made any effort to improve his basic skill levels? Does he have potential for acquiring or developing his job skills to higher levels of proficiency? Should he undertake a brush-up or back-to-school program? Has he taken advantage of related in-service training opportunities. Does he read technical publications related to his work?

13. Quality of Work: The degree of excellence of the work performed over the entire rating period is measured here. In rating this factor, attention should be paid to the consequences of poor quality work. Is the employee's work effective, accurate, thorough, and acceptable? Must the work be redone, thus reducing the potential volume of acceptable work which could have been produced? Do errors in the employee's work affect the efforts of others? Does poor work too often reflect adversely upon the department? Are reports clear, concise and accurate?

14. Volume of Acceptable Work: Refers to the amount of work required to meet job standards. Does the employee consistently accomplish a day's work for a day's pay? Does he produce enough work so that he is clearly a net asset to the department? Supervisors should not make undue allowances for such reasons as the employee's poor health, home problems, age, or length of service. While short-term exceptions to the volume standard can sometimes be made, care should be exercised to see that proper warnings are issued when indicated.

15. Meeting Deadlines: If work schedules are important enough to set reasonable deadlines, were these deadlines met? If the employee could not meet deadlines, did he give advance notice? Did he show an honest attempt to meet deadlines?

16. Accepts Responsibility: Refers to the degree of willingness an employee exhibits when given responsibility and the manner in which the responsibility is carried out. Does the employee readily accept responsibility or does he avoid it? Does he deny his responsibility when things go wrong? Or is he quick to own up to his failures? Does he consistently act in a responsible manner?

17. Accepts Direction: The word "direction" as used here is synonymous with such words as supervision, training, and instruction. Does the employee demonstrate that he has accepted the direction by carrying out the direction to the best of his ability? Does he chronically challenge supervision, instruction, or orders? Does he meekly or passively accept directions he thinks may be faulty? Does he blindly or maliciously carry out such directions? Is he resentful of direction or supervision? Does he accept direction, but complain about it to fellow employees?

18. Accepts Change: Use this factor to evaluate the traits of adaptability and flexibility. Does the employee accept change willingly? Does he slow down progress or cause inefficiencies by resistance to change? Does he adapt satisfactorily to new work surroundings, new equipment, new procedures, new supervisors?
19. Effectiveness Under Stress: There are some positions where pace, pressure, and tempo are consistently demanding. Is the employee capable of meeting the demand? Can he produce an acceptable volume and quality of work in an emergency? Is his work generally organized well enough to meet unforeseen contingencies? Before marking this factor, consider whether stress is inherent in the position or results from the employee's failure to properly plan and organize his work.
20. Appearance of Work Station: Refers to the neatness and efficient arrangement of work areas. Does the appearance of the work station contribute to a desirable work atmosphere or a proper public image?
21. Operation and Care of Equipment: Reflects the employee's concern for safe, responsible, and reasonable operation or use of equipment. Is the employee concerned with conservation of equipment? Does he request appropriate maintenance and repair of equipment when necessary?
22. Work Coordination: Measures specifically the necessary coordination of work which directly or indirectly involves other employees, sections, divisions or departments. Characteristics of this factor include preplanning, timing, and a consistent excellence of work judgments. In situations where work coordination is applicable, does the employee consistently maintain a smooth flow of work materials? Has the production process been slowed because of obstructions caused by the employee?
23. Initiative: Refers to initiation of action by the employee. While initiative shows up in the form of suggestions and constructive criticism, it is most obvious when the employee originates investigations or acts to produce more efficient, productive or economical methods and procedures. Does he take opportunities to exercise initiative or must he be prodded into action? Is he alert to operating efficiency and cost-cutting? Is he inventive? Does he offer practical constructive criticism?
24. Spaces 24 - 29 have been left blank for additional factors the rater may consider necessary in achieving a view of the employee's total job effectiveness.

Factors such as oral or written expression, thoroughness, or accuracy may figure significantly in fulfilling the requirements of a particular position. Intangible qualities, such as integrity, patience,

and courage, usually refer to character or personality traits, not to an employee's performance, and should be avoided as evaluation factors unless a direct relationship can be demonstrated.

If the employee does not qualify to be evaluated as a supervisor (see "Evaluating the Supervisor") but does give work direction, field supervision, or is responsible for performing tasks which of necessity include some of the supervisory factors, the blank spaces provided for additional factors might be utilized to evaluate the employee to this end.

SUPERVISORY FACTORS: (In addition to factors 1 through 29, the following should be completed for those who supervise and evaluate the work of others.)

30. Planning and Organizing: Knowledge, talent, and mental effort are required in planning and organizing the work of subordinates. How well does he analyze and then put into effect improved and more efficient work processes? Does he plan improvements or changes and effect them in a logical and systematic manner?

31. Scheduling and Coordinating: This is the next logical step and is a critical phase of the supervisor's function. Does the supervisor effect the necessary scheduling or rescheduling of work? Does he provide the necessary personal coordination of the work, not only among his subordinates, but, more importantly, between other sections and divisions? Does he anticipate schedule problems, or is he surprised and "caught short" when these occur? Does he keep his supervisor informed of problems and delays, or does he wait until these may be discovered, or until it is too late for planning adjustments.

32. Training and Instructing: Refers generally to orientation of new employees or to the demonstration and exploration of technical methods, procedures and rules in which the new employee cannot be expected to be competent. It also refers to introducing permanent employees to changing methods, procedures, and techniques, as well as improving basic qualifying skills to their highest potential level. Refers also to instructions given in day-to-day or periodic observation and supervision of employee performance. It may be an occasional word or it may be a planned periodic meeting of a small group of employees in which effective methods, techniques, and standard procedures are explained, demonstrated, and reviewed. Does the supervisor plan and carry out a program of orientation and training for new employees? Does he provide for the correction of any technical skill deficiencies in new employees? Does he provide training for permanent employees in new methods and procedures? Does he assist employees in self-development programs?

33. Effectiveness: This factor is designed to measure the results achieved by the supervisor and his subordinates. Do his subordinates prevent crime, apprehend violators, or provide services to the desired degree? Are assigned functions accomplished? Completely? On time? Is the quality of work produced by the supervisor and his staff up to standard?
34. Evaluating Subordinates: Measures the accuracy and manner in which the supervisor approaches completes the formal evaluation of his subordinates. Does the supervisor exhibit a good balance of constructive criticism and praise in evaluating employees? Does he indicate how an employee's work may be improved, when improvement is needed? Are his evaluations positive contributions to employee development? Are his evaluations consistently objective, fair, and accurate?
35. Judgments and Decisions: Refers to the practical exercise of authority and responsibility by the supervisor. Does the supervisor exhibit firmness and fairness in judgments affecting employees? Is he accurate in making judgments affecting functional goals? Does he cause a resentment or other adverse reactions to his decisions because of poor timing or the manner in which he states them? Are his judgments always in accord with the best interests of the department? Does he balance employee and department interests when these are not fully compatible?
36. Leadership: Does the supervisor spur subordinates to their best efforts through example rather than by relying on the authority of his position? Does he mold them into a group or team whose cooperative endeavors surpass their individual performance collectively? Does his intelligent exercise of leadership create an atmosphere in which employee attitudes are optimistic and positive?
37. Operational Economy: Refers to the conservation of time and material. Is the supervisor truly budget conscious? Does he live within his budgets? Does he make careful and accurate budget estimates? Does he know, or periodically calculate, operational costs for units or phases of his operational responsibilities? Is he able to identify uneconomical procedures, methods, tools, or equipment? Does he recommend changed policies or procedures which might effect dollar economies?
38. Supervisory Control: Refers to the maintenance of order in all areas of supervisory jurisdiction. Do the supervisor's employees perform their duties and functions in an orderly and disciplined manner which promotes work objectives? Do the employees have a clear understanding of behavior and performance standards which are expected? Does the supervisor enforce these standards consistently? Is the supervisor "accepted" by his subordinates and in full control at all times? Is the discipline and control too oppressive?

PERFORMANCE EVALUATION REPORT

USE INK OR TYPEWRITER FOR FINAL MARKINGS

EMPLOYEE NAME (Last) (First) (Init.)			EMPLOYEE NO	DIVISION	DISTRICT OR SECTION
JOB TITLE			EMPLOYEE STATUS	ASSIGNMENT	DUE DATE:

SECTION A	1	2	3	4	5	SECTION B	
						Record job STRENGTHS superior performance incidents, progress achieved, or checks in Col. 4.	
FACTOR CHECK LIST Immediate Supervisor Must Check Each Factor in the Appropriate Column DOES NOT APPLY						SECTION C	
						Record specific GOALS or IMPROVEMENT PROGRAMS to be undertaken during next evaluation period	
	1 Observance of Work Hours						
	2 Attendance						
	3 Grooming & Dress						
	4 Compliance with Rules						
	5 Safety Practices						
	6 Public Contacts						
	7 Suspect Contacts						
	8 Employee Contacts						
	9 Knowledge of Work						
	10 Work Judgments					SECTION D	
	11 Planning and Organizing					Describe STANDARD performance (Optional for most factors checked in Col 3, MANDATORY for some factors - see instructions.)	
	12 Job Skill Level						
	13 Quality of Work						
	14 Volume of Acceptable Work						
	15 Meeting Deadlines						
	16 Accepts Responsibility						
	17 Accepts Direction						
	18 Accepts Change						
	19 Effectiveness Under Stress					SECTION E	
	20 Appearance of Work Station					Record specific work performance DEFICIENCIES or job behavior requiring improvement or correction. (Explain checks in Col. 1 and 2.)	
	21 Operation & Care of Equip.						
	22 Work Coordination						
23 Initiative							
24 (ADDITIONAL FACTORS)							
25.							
26.							
27.							
28.							
29.							

FOR EMPLOYEES who SUPERVISE OTHERS					
30	Planning & Organizing	RATER: I certify this report represents my best judgment.		<input type="checkbox"/> I DO	
31	Scheduling & Coordinating	employee be granted permanent status. (For final probationary reports only).		<input type="checkbox"/> I DO NOT	recommend this
32	Training & Instructing	RATER'S SIGNATURE:	TITLE:	DATE:	
33	Effectiveness	REVIEWER: (IF NONE, SO INDICATE)			
34	Evaluating Subordinates	REVIEWER'S SIGNATURE:	TITLE:	DATE:	
35	Judgments & Decisions	EMPLOYEE: I certify that this report has been discussed with me. I understand my signature does not necessarily indicate agreement. <input type="checkbox"/> I wish to discuss this report with the reviewer			
36	Leadership	Comment:			
37	Operational Economy				
38	Supervisory Control				
39	(ADDITIONAL FACTORS)				
40.					
41.					

CHECKS IN COLS. 1 AND 2 MUST BE EXPLAINED IN SECTION E

INSTRUCTIONS

FOR USE OF THE PERFORMANCE EVALUATION REPORT FORM

- GENERAL:** 1. Using a preliminary draft sheet and pencil, complete Section A first, then other appropriate sections. The rater should review the draft report with his own supervisor. Markings and comments should then be typed or inked in on the final form. Either the rater or reviewer (or both) should then review the rating with the employee in a private interview. All signatures shall be in ink. Changes and corrections shall be initialed by the employee.
2. If space for comments is inadequate, dated and signed attachments may be made (either typewritten or in ink).
 3. Due dates shall be observed, and are particularly important for final probationary reports. Filing dates for these are flexible, and both the first and the final reports may be filed at any time between the receipt and the printed due date.
 4. All probationers (either entrance level or promotional) shall be evaluated not later than the end of the first three months of probationary service, and every three months thereafter for the first year. Probationers may be separated (or demoted, if permanent in a lesser class) at any time such action is deemed necessary by the department head, through use of either a scheduled or an unscheduled performance evaluation report.
 5. All permanent employees and entrance level probationers in their second year shall be evaluated semi-annually as of the printed due date.
 6. Unscheduled reports may be filed at any time for either permanent or probationary employees.
 7. The "Guide to Performance Evaluation" should be consulted for suggestions, definitions, interpretations, and further instructions.
 8. The main purposes of this form are to inform the employee of his performance, to improve performance when possible, and to sustain superior performance.

SECTION A: Check one column for each factor. Column (5) may be checked when a factor is not considered applicable to a particular job. Additional spaces have been provided to write in any additional factors. Each check mark in Columns 1 and 2 requires specific explanation in Section E. In the absence of specific standards for a factor, use your own opinion as to what constitutes standard performance. Standard does not mean average; in fact standard performance can often be higher than average performance.

Exceeds Standards: Total performance is well above standards for the position. This evaluation should be reflected by marks for critical factors in Section A, and superior or excellent performance should be noted in Section B. Only a few employees would normally qualify for this rating.

Effective - Meets Standards: Consistently competent performance meeting or exceeding standards in all critical factors for the position. If margin is narrow and standards barely met, explain in Section E. Most employees would be rated in this category.

Some Improvement Needed: Total performance occasionally or periodically falls short of normal standards. Specific deficiencies should be noted in Section E. This evaluation indicates the supervisor's belief that the employee can and will make the necessary improvements.

Not Satisfactory: Performance clearly inadequate in one or more critical factors as explained or documented in Section E. Employee has demonstrated inability or unwillingness to improve or to meet standards. Performance not acceptable for position held.

SECTION B: Must be used to describe outstanding qualities or performances, when check marks are placed in Column 4. Use this section to record other progress or improvements in performance resulting from employee's efforts to reach previously set goals.

SECTION C: Record agreed-upon or prescribed performance goals for the next evaluation period.

SECTION D: Use for describing standard performance. This section must be completed for certain factors, depending on assignment.

Patrolman		Civilian Employees	
Patrol Division	9, 13, 14, 23	Clerks	6, 12, 13, 14
Traffic Division	6, 9, 13, 14	Technical, trades	12, 13, 14
Crim. Invest. Div.	9, 10, 13, 23		
Youth Div.	9, 10, 13, 23	Supervisors	
Adm. Bureau	8, 11, 13, 15	Sergeants	32, 33, 34, 38
Services Bureau	6, 12, 13, 19	Lts and above	30, 31, 33, 34
		Civilians	30, 31, 32, 33, 34

SECTION E: Give specific reasons for check marks in Columns 1 and 2. Record here any other specific reasons why the employee should not be recommended for permanent status, or - if the employee is already permanent - any specific reasons for required improvement.

SIGNATURES: Both the rater and the employee shall sign the report. The employee's signature indicates that the conference has been held and that he has had an opportunity to read the report. If he refuses to sign for any reason, explain that his signature does not necessarily imply or indicate agreement with the report, and that space is provided for him to state any disagreement. Further refusal to sign shall be recorded on the report, after which it shall be forwarded.

ROUTING: Keep the preliminary draft at the division level until the next rating period and then discard. Route the permanent copy through channels to the Personnel Division.

39. Spaces 39 - 41 have been left blank for any additional supervisory factors the rater feels should be included as determinants of supervisory effectiveness necessary to the position of the employee being evaluated. These may come under the heading of particular qualities or skills, without which effective supervision cannot be achieved. Intangible qualities and references to character or personality traits should, however, be avoided.

Part 2 - Promotional Potential Rating

The promotional potential rating should not be confused with regular performance evaluations or service ratings. The former is intended to be graded and weighted, whereas the recommended performance evaluation system is deliberately designed to avoid a numerical grade. Service ratings should not be used in the promotional process except to add background material for the oral board members. On the other hand, the promotional potential rating form should only be used as a part of the promotional process.

The promotional potential rating form is not intended to be completed unless and until candidates pass the written examination.

The recommended procedure requires the rating of the potential candidate by at least two raters who have been in close supervisory contact with the candidate. This will allow for some adjustment of tendencies to overrate or underrate.

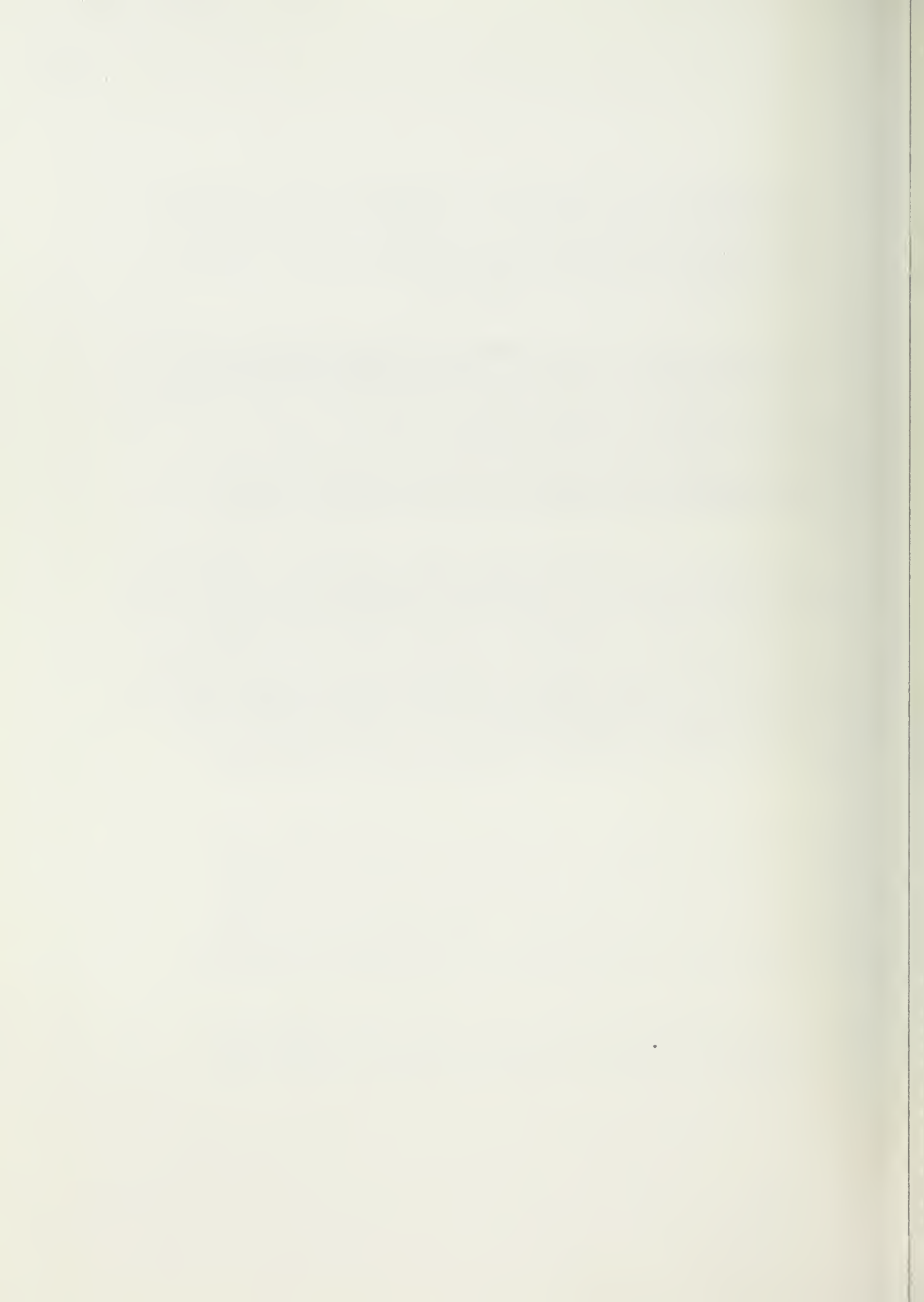
The system provides for the establishment of a rating review board, consisting of the heads of the major divisions in the department. The purpose of the board is to equate differences in the average rating used in all bureaus, divisions, and sections of the department. This smoothing is done "across the board" for everyone in the specific unit.

The promotional potential rating system will improve as it is put into operation, and after the raters are given instructions and training. Nevertheless, we recommend that it be administered on a trial basis—that is, without having the results count—the first time it is used. After that, give the promotional potential rating an appropriate weighting. Generally we recommend a weighting of 50 percent for the written examination, 40 percent for the oral interview, and 10 percent for the promotional potential rating.

GUIDE TO PROMOTIONAL POTENTIAL RATING

1. A promotional potential rating shall be prepared for each candidate who has successfully passed the written test.
2. The promotional potential rating shall be prepared by the immediate supervisors of each candidate. All candidates will be rated by at least two and not more than three raters who have supervised the candidate during the past year. When a candidate has only one direct supervisor, other supervisory or commanding officers who have provided indirect supervision will be assigned as raters.
3. Use the year immediately preceding the rating as the foundation for ratings whenever possible. Follow instructions on the form and rate each factor for all candidates.
4. Supervisors shall rate each candidate independently. The raters for each candidate shall, after they have prepared their independent ratings, prepare one composite rating on which they agree. After signing the composite rating form, they will submit it and their independent ratings up the line of command in the district or division in which the candidate has worked for the longest period of time during the past year.
5. Each district commander or division director will have the responsibility for reviewing all ratings referred in the line of command to him, for the purpose of adjusting any inequities. When it is obvious that significant differences exist in the application of rating standards among the various sections or units under his command, he will have the authority to adjust ratings upward or downward for any section or unit. When the district or division commander or director is satisfied that the promotional potential rating is fair and proper, he shall sign it and forward it to the departmental personnel office.
6. The Personnel Division shall prepare a list of candidates and their numerical ratings, grouped by district or division, and showing the average (mean) for each. These lists shall then be forwarded to the Rating Review Board.

7. The Rating Review Board will have the responsibility to review summaries of ratings for the purpose of adjusting any inequities based upon any obvious differences in standards between the various districts and divisions in the department. The board will have the authority to adjust scores upward or downward. When the board is satisfied that the ratings are fair and proper, a representative of the board will sign them.
8. The objective of the reviews is to insure that similar standards for rating are used in all bureaus, divisions and sections of the department. In general, reviewers should not permit more than a five-point spread in the mean ratings between the highest and lowest divisions. Ratings for all district personnel should be adjusted to the same average.
9. The Rating Review Board shall consist of the heads of the major bureaus in the department (or their representatives if above the rank of captain).
10. After the district or divisional rating has been determined, a candidate will be permitted to review his promotional potential rating during a time specified by the commanding officer. A candidate for sergeant or lieutenant who wishes to appeal his rating may do so by submitting a request through channels to the district commander or division director. In examinations for captain, a candidate may appeal by directing his request for review through channels to the division chief or division director who reviewed his initial rating. The decision of the commanders, directors and chiefs in these cases will be final. No appeal will be allowed for adjustments made during the equating of ratings between divisions, sections or units.



PROMOTIONAL POTENTIAL RATING

USE INK OR TYPEWRITER FOR FINAL MARKINGS

PERSONNEL USE ONLY
 RATED SCORE _____
 ADJUSTMENT, ± _____
 FINAL RATING _____

EMPLOYEE NAME (LAST)	(FIRST)	(INITIAL)	EMPLOYEE NO.	DIVISION	DISTRICT OR SECTION
PRESENT CLASS TITLE	ASSIGNMENT		EXAMINATION FOR:	DUE DATE:	

In rating the applicant, you should:

1. Review the job specifications and standards for the promotional job.
2. Consider applicant's personal work record, including efficiency, experience, training, attendance, commendations and disciplinary actions.
3. Evaluate the applicant on the basis of his merit and apparent ability to perform the duties of the new job, not his relative ability as compared with other applicants.
4. Recognize individual abilities and limitations for the higher job in addition to the performance on his present job.

To insure uniformity, the following definitions and ranges should be used:

OUTSTANDING	High success potential. Superior work expectancy.	90-100
GOOD	Better than average prospects for success.	80-89
ACCEPTABLE	Probable success on the job. Average performance expectancy.	70-79
WEAK	Factor slightly below necessary level. With more development might be acceptable.	60-69
INADEQUATE	Lacks factor to a degree that would preclude success on the job.	50-59

When the rating is "Inadequate" or "Outstanding" for a factor, a notation of the reason must be made in the space beneath the scale.

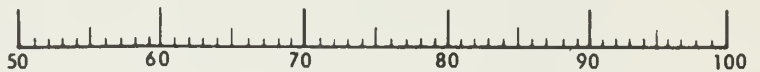
Check your evaluation of each factor by making a mark along the scale in an appropriate place. Individual ratings for each factor should be used only for general guidance in determining the overall rating.

FACTOR

ATTITUDE AND LOYALTY

Consider ability to work towards a common end in harmony with others; attitude toward other employees, departmental and city policies; willingness to assume additional responsibility. Does he show pride in his work? Does he support his superiors? Does he contribute to good morale?

Inadequate Weak Acceptable Good Outstanding



TECHNICAL SKILL AND JOB KNOWLEDGE

Has he the knowledge and skill necessary for the promotional job?



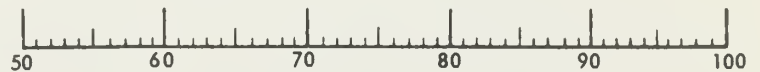
JUDGMENT

Do you have confidence in his judgment? In your absence, would you have to worry about his decisions? Does he generally show common sense?



EXPRESSION AND COMMUNICATION

Does he express himself clearly and concisely? Are his oral and written explanations understandable? Is his language acceptable?



INITIATIVE AND RESOURCEFULNESS

Consider self starting energy, mental alertness, adaptability to changes, ability to conceive and execute new ideas.



SUPERVISORY AND LEADERSHIP ABILITY

Consider ability to plan and organize work. Does he have the capacity to direct, control and influence others? Has he demonstrated leadership in his daily relations with other employees?



Does applicant possess a further trait or skill that you feel adds or detracts from his value for the position under consideration? If so, explain briefly

On the basis of the information on the reverse side, we believe the applicant should receive an overall rating of (Based on a scale of 0-100, with 70 a minimum passing point.)

(RATERS' SIGNATURES)

(EMPLOYEE NO)

(DATE)

_____	_____	_____
_____	_____	_____
_____	_____	_____

District or divisional rating, as equated by the district commander or division director, was determined by adding _____ points to all rating scores within the employee's division, section or unit:
subtracting _____ points from

(SIGNATURE)

(TITLE)

(DATE)

_____	_____	_____
-------	-------	-------

Final departmental rating, as equated by the Rating Review Board, was determined by adding _____ points to all rating scores within the employee's division, section or unit:
subtracting _____ points from

For the Rating Review Board:

(SIGNATURE)

(TITLE)

(DATE)

_____	_____	_____
-------	-------	-------

POSITION OF POLICE SERVICES TECHNICIAN

Civilian employee of sound physical condition and emotional stability subject to irregular hours of work. Position requires advanced training in a variety of specialties to insure adequate staffing for performing essential functions throughout the 24-hour day, 7 days per week. Maximum flexibility in assignments requires a number of technical skills in the performance of a variety of tasks, with a minimum number of personnel. Incumbents must generally exercise a wide latitude of discretion and independent decision-making with a minimum of supervision.

Educational attainment at entrance to position must include high school graduation with preference given to those with higher learning if physical and emotional requirements are equal. Skills required for entrance to position are those of a typist or typist with shorthand competent to the degree required for governmental positions of typist or secretary.

Pay steps are provided, and each step requires demonstration of a satisfactory degree of proficiency during a probationary period with added skills required before the next pay step is achieved. Top pay not to exceed the maximum pay for a patrolman.

Employee must qualify in servicing requests of the public and police officers in a polite, alert, and informal manner. This ability should include skill in proper telephone techniques and personal encounters. The skill of employees in this area is an essential part of maintaining the police image which is largely judged by the manner in which citizens' telephonic requests are processed as well as by the professional-like conduct of the uniformed officer on the street.

The indicated skills in telephonic conduct are an essential part in the training leading to possible assignment as a radio dispatcher, who must have a thorough knowledge of the area's geography, street addresses, and locations and general operating procedures of various emergency services such as fire and ambulance. The dispatcher must be thoroughly knowledgeable in deployment of police vehicles to answer minor complaints as well as reports of crimes in progress. The dispatcher must have a thorough knowledge of the essential backup provisions necessary to the proper operation of one-man patrol, and be proficient in such assignments, including the emergency assignments of vehicles to form police blockades of areas to prevent escape of a criminal. The incumbent must gain a thorough and intimate knowledge of the intelligence and information systems of the department. These include the receiving, processing, and answering of inquiries on "stops"; requesting other agencies to place "stops"; the receiving, processing, and answering of inquiries on wanted criminals, on stolen automobiles, on missing persons; and requests involving the identity of registered owners or drivers involved in a police incident. Employee must be able to search the technical modus operandi and crime location files in order to extract information requested by patrolmen and investigative officers. Employee must have full knowledge of the needs of criminal investigators, and initiate action on any probable identifications.

Employee must have a thorough understanding of the security requirements surrounding the release of police intelligence or information. This includes not only investigative intelligence and identities of suspects but also the highly sensitive area of the identities of known juvenile offenders.

Employee should qualify through training to assist in the booking of prisoners including the execution of technical fingerprint records, maintenance of inventories of prisoners' property and the like. Employee should qualify in classifying, searching, comparing, and filing ten-fingerprint cards in the personal identification files. Employee should qualify as an office machine operator incidental to other duties, including coding and key-punching data for electronic data processing. Employee should qualify in skills required to compile statistical abstracts and analysis not available through data processing procedures.

Employee should be permitted to progress at the rate of one pay step per annum provided a vacancy is available before each promotion and provided, as previously stated, thorough qualification for the next pay step has been demonstrated. To this end, employee at each level is to receive training needed for the next higher level in sufficient time to permit qualification no later than one year from his or her last step increase.

COMMENDATION PROCEDURE

- I. The purpose of this procedure is to effect a uniform policy to consider recommendations for department recognition.

- II. Board of Review
 - A. This board is set up to consider any and all recommendations submitted recognizing departmental personnel for outstanding service.

 - B. Membership
 1. Chief of Police or designated representative

 2. Assistant Chief - Operations

 3. Assistant Chief - Administration

 4. Lieutenant or Sergeant

 5. Police Officer

All members will be appointed by the chief and serve at his discretion.

III. Types of Recognition

A. Commendation (Letter Citation)

A commendation will be awarded to any member of the department who in the line of duty indicates unusual thoroughness, conscientiousness, determination, and initiative in the performance of a difficult assignment. Consideration should also be given to a member whose act brings credit to the department or which involves performance above and beyond that required by his assigned task.

B. Meritorious Recognition (Medal and Uniform Ribbon)

A meritorious recognition will be awarded for the performance of police service requiring exceptional courage and bravery or when, because of the outstanding nature of the act a life is saved, a serious crime is prevented, or a person is apprehended who has committed a serious act. Consideration should be given to demonstrated characteristics of selflessness, personal courage, and devotion to duty.

C. Medal of Valor (Medal and Uniform Ribbon)

A medal of valor will be awarded only in exceptional cases when a hazardous duty is performed with a risk of life. The act must be of such an extraordinary nature that the individual exposes himself to peril above and beyond the call of duty.

D. Citizen's Award (Letter and Plaque)

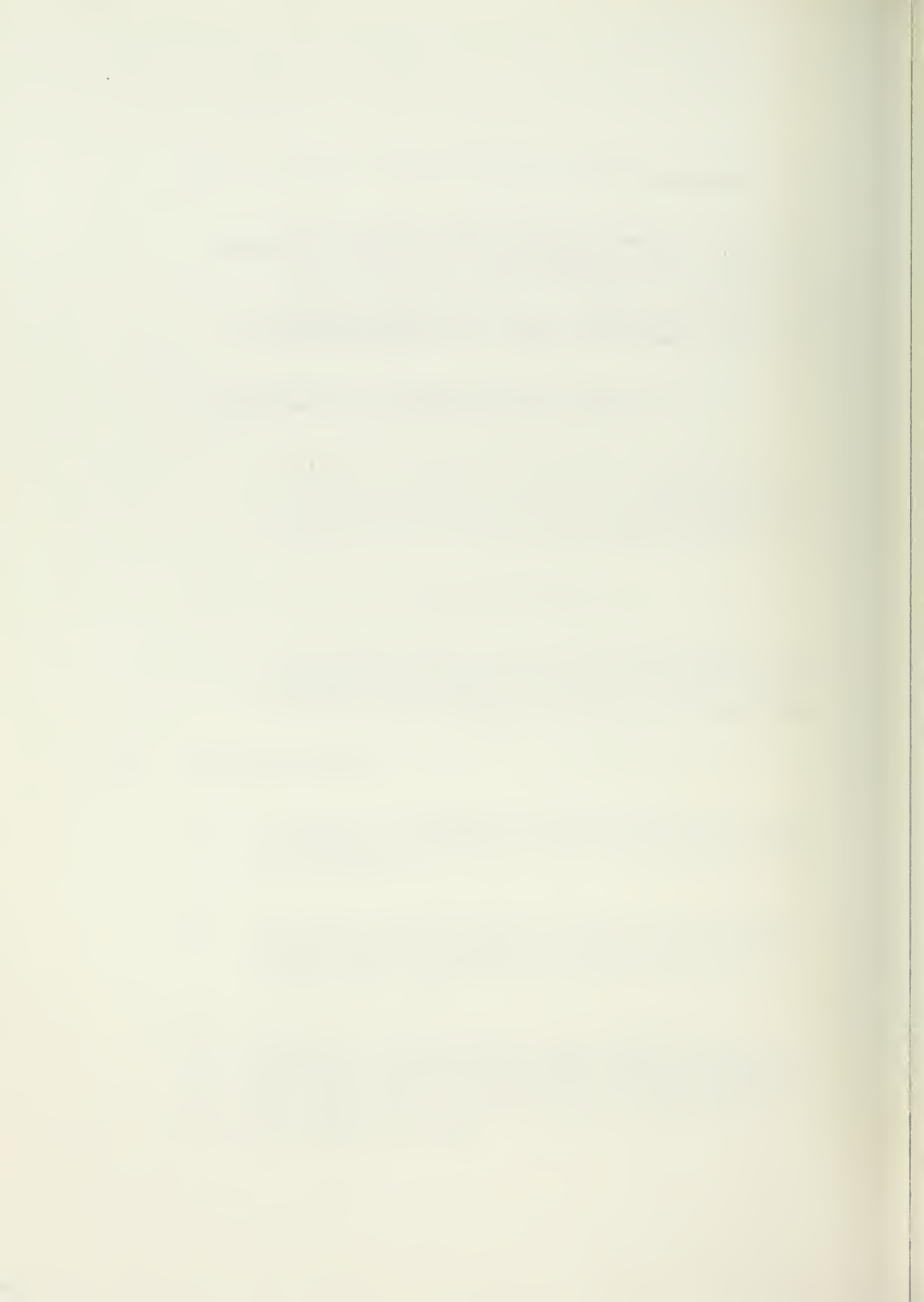
A citizen's award will be awarded to any individual whose action in cooperation with the New Mexico State Police results in the apprehension of a criminal, the solution of a crime, or in any way serves the department in connection with its responsibilities.

IV. Method of Recognition

- A. In all types of recognition, the award will be supplemented with an appropriate communication from the chief of police outlining the circumstances.
- B. In awarding a medal and ribbon for Meritorious Recognition, the award and the commending communication from the chief of police should be presented by a command officer at the district level or above.
- C. In awarding a Medal of Valor, the award and commending communication will be supplemented with appropriate communication from the chief of police and the governor of the State of New Mexico. A ceremony and public notice will be given fitting the occasion.

D. Recognition

1. Copies of all awards will be made part of individual personnel folders.
2. Appropriate news releases will be prepared for the exceptional cases.
3. Note will be made of all awards in the Annual Report.



GRIEVANCE PROCEDURE

Grievance procedures differ widely among police departments, and beyond the rather frequent use of simple communication through the chain of command or direct communication with department heads, there is an infinite variation in machinery for processing grievances. Before introducing the procedure recommended by the IACP, it is appropriate to discuss the essentials of a sound system and some factors which must be considered.

The Scope Must be Defined. Employee relations can cover a wide range of subjects with many variations of circumstances. A procedure which does not anticipate a wide scope or is oriented to a specific kind of grievance is likely to have limited value. When classified by subject matter, grievances may be related to one of the following categories:

- Matters dealing with material benefits—salaries, overtime, leave, hours of work, allowances, retirement, opportunity for advancement, and so on.
- Matters dealing with status—performance evaluation, job standards, training, tenure, disciplinary action, safety and conduct.
- General management practices including quality of leadership, attitudes of supervisors, administrative and supervisory methods.
- Operational matters, including crime prevention and investigation, and the extent of service to be rendered.
- Personal disputes.

Clientele. Grievances may also be considered in terms of the number and rank of the affected personnel. Does the grievance involve a complaint from one police officer? A whole rank? Are the interests of all personnel in the department involved? In general the procedure should accommodate any number or rank.

The Difference Between a Grievance and a Suggestion. The seriousness of the grievance may be an important factor. Is it actually a suggestion rather than a grievance? Should a member be allowed to file a grievance because a suggestion concerning an

operational matter was turned down? The difference between a suggestion and a grievance should be established, and a means for handling suggestions should be provided.

Screening of Grievances. In some procedures, the employee relations committee or board is obliged to give a decision to the final authority in each case. This may result in duplicate handling of similar cases or in disruption of the grievance machinery. The system adopted should provide for rejection of grievances by the board in summary fashion without necessarily resorting to elaborate explanations of the reason for rejection, and should provide a means for consolidating similar grievances.

Employee Relations Committees. Although by no means universal or consistent in structure, the employee relations committee or board is found in many well-defined grievance procedures. Most such committees feature some form of democratic representation by rank and file members, on the theory that the group of peers will view the grievance with sympathy; by extension, if the committee then denies the grievance, the aggrieved employee has less justification for further complaint.

It would appear that the composition of such a committee or committees could take several forms. The following list is by no means exhaustive:

- An equal number of representatives from each rank.
- Varying numbers of each rank, in proportion to the number of men in each rank in the bureau (or division).
- A separate committee for each rank.
- Composite committees, with representatives drawn from other committees --these might be established on a temporary basis to cover special circumstances, or they might be standing committees.
- Election of a representative by members of one rank, but without regard for the rank of the elected representative. In other words, the patrolmen might feel that one of the lieutenants would be their most eloquent spokesman, and thus would select him rather than a patrolman.
- Formation of a panel, with the committee to be selected from the panel by the member or group initiating the grievance.

Appeal Beyond the Department Head. If the first phase of a grievance system consists of a communication through channels to a certain level of authority in the department, it makes little sense to redirect all grievance committee recommendations to this same level.

Committee reports should therefore be directed to the highest level of government with the authority to remedy the grievance, such as a city manager or city council. However, the chief of police should be the ultimate authority beyond which there is no appeal in operational matters.

Recommended Procedure

The recommended grievance procedure contains the following provisions or features:

- A foundation in law.
- Applicability to any grievance including those concerned with salaries and other benefits under the control of the city council.
- Provision for handling suggestions as well as grievances.
- At the option of the initiating employee, a provision to have grievances routed through the chain of command for possible disposition before further steps are taken. In this first phase, the grievance should go only to the level of bureau deputy chief.
- At the option of the initiating employee, the opportunity to address the grievance directly to the grievance committee.
- Applicability to all sworn members of the rank of lieutenant and below, and all civilian employees below the level of supervisor.
- Election of an employee relations panel consisting of 5 police officers, 5 sergeants, 5 lieutenants, 5 captains, and 5 civilians. Two alternates from each rank or group should also be elected. An election should be held once a year as follows:

One police officer should be chosen as a representative from each district or division. Representatives from each district or division should then meet for the purpose of electing 5 police officers and 2 alternates from among them to serve on the employee relations panel.

Other ranks should choose electors in the same way except that if a district or division has only one member of a particular rank, that member should serve as the elector.

- Screening Committee. A screening committee should be selected by the panel from each of the ranks or groups, consisting of one police officer, one sergeant, one lieutenant, and one civilian. One of the committee members should be chosen as coordinating chairman. He should be provided with clerical assistance as required. He should be responsible for scheduling meetings and hearings, and presiding over sessions of the screening committees. The screening committee should review all grievances, consolidate grievances, conduct hearings, decide the composition of special hearing committees, and refer certain grievances to the entire panel. Decisions of committees should require a majority vote of three.
- Hearing Committees. The employee initiating the grievance (either on his own behalf or on behalf of others) should have the option of requesting a hearing before a hearing committee. The employee should also have the option of deciding the composition of the committee which will hear the case; thus he may request 5 police officers, or 4 police officers and a lieutenant, or 5 sergeants, or any other combination of ranks. If the employee does not specify the composition of the hearing committee, the screening committee should conduct the hearing. No member of any committee should be assigned to the same district or division as the employee requesting the review or hearing.
- Legal counsel from the city attorney's office should be available on request, and should be available for service in an advisory capacity to a committee during reviews or hearings if they choose to have it. However, proceedings before a committee should be informal.
- Committees should have the authority to call employees into hearings, but the attendance of employees should be without compensation unless otherwise specified by the employee's district commander or division commander.
- Supervisors above the rank of captain, whose service in the higher rank is dependent upon the approval of the chief of police, should not be permitted to initiate grievances presented to a committee.
- Grievances directed to the city manager or city council should be approved by majority vote of the total membership of the employee relations panel.
- A grievance and suggestion transmittal form is attached.

GRIEVANCE/SUGGESTION TRANSMITTAL REPORT

EMPLOYEE NAME (LAST)	(FIRST)	(INIT.)	EMPLOYEE NO.	DIVISION	DISTRICT OR SECTION
TITLE			EMPLOYEE STATUS	ASSIGNMENT	DATE INITIATED

SUGGESTION OR GRIEVANCE - TO GO THROUGH CHAIN OF COMMAND

Details should be explained on a bureau memo form, to be attached to this transmittal sheet. Address the memo to your immediate supervisor. Indicate the nature of the problem or grievance. Give a brief explanation of the cause or history, if applicable. State your suggestion, or in the case of a grievance, your recommended solution if you have one in mind. Be specific in both the statement of the problem and the suggested solution. If the suggestion or solution involves additional expenditure, either for equipment or manpower, indicate the amount of increase.

SUPERVISORS: Check one or more boxes. Attach comments, if any, by means of a separate memo. If you have the responsibility, authority and desire to solve the problem or carry out the suggestion, indicate your intent to do so. Sign and transmit within 72 hours.

General	I concur with both the statement of the problem and the solution	I disagree with either the statement of the problem, or the solution, or both	Contents noted but no comment attached	See attached comments	Signature of supervisor	Date reviewed	Return to initiator
Initiator (or level Civ. supervisor)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____	_____	
Lieutenant (or level Civ. supervisor)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____	_____	
Captain (or level Civ. supervisor)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____	_____	<input type="checkbox"/>
Inspector, (or level Civ. supervisor)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____	_____	<input type="checkbox"/>
Inspector (Division only)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____	_____	<input type="checkbox"/>
Department Head	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____	_____	<input type="checkbox"/>

Routing of copies: Initiating employee should retain pink copy. Original and yellow copies to go through chain of command. When original is returned to initiating officer, route yellow copy to Employee Relations Committee.

GRIEVANCE - TO GO TO EMPLOYEE RELATIONS COMMITTEE (DIRECTLY, OR AS AN APPEAL)

Details should be explained on a bureau memo form, if not already attached. Address the memo to the Employee Relations Committee. Indicate the nature of the grievance. Give a brief explanation of the cause or a brief history, if applicable. Give the number, rank and division of affected employees. State your suggested solution if you have one in mind. Be specific in both the statement of the problem and the suggested solution. If the solution involves additional expenditures, either for equipment or manpower, indicate the amount of increase.

I request review by the Employee Relations Committee, but not a hearing. I understand, however, that I may be called to a hearing if the Employee Relations Committee believes it to be necessary.

I request review by the Employee Relations Committee and a hearing. I request that the hearing committee be composed of five members, as follows:

- police officer(s)
 sergeant(s);
 lieutenant(s)
 master police officer(s)
 civilian(s)

I further understand that the Employee Relations Committee has the right to consolidate grievances, and may not make recommendations to the administration of the bureau in every case. I also understand that a detailed explanation of the committee's decision may not be reported to me.

SIGNED _____ DATE _____

Routing of copies: Initiating employee should retain pink copy. Original and yellow to go to Employee Relations Committee. Original copy to go back to initiator with decision. Yellow copy to go to employee's personnel file.



FIELD TRAINING GUIDE

NAME OF RECRUIT		CLASS NUMBER	DATE OF CLASS
NAME OF FIELD TRAINING OFFICER	FIELD ASSIGNMENT	FIELD TRAINING DATES (inclusive)	
		from	to

This training guide is a listing of basic police responsibilities, tasks and procedures. The Field Training Officer (FTO) will use this guide during the field training of a recruit. The FTO will explain each item, and whenever practical, demonstrate the task or procedure to the recruit. When the FTO determines that the recruit is capable of handling a specific task, he will require the recruit to perform the task while he observes. The FTO should pace himself to insure that sufficient time is allotted for explaining and/or performing each and every task. When an item has been satisfactorily completed, the FTO will enter the date of completion in the proper column. This is not an exhaustive list, and when unlisted situations arise, the FTO should demonstrate the proper procedure for handling the situation and record such action at the end of the guide.

Responsibilities

- The Training Division will enter the recruit's name, class number, and date of class on the top line of this form.
- The FTO will enter his name on the next line, and indicate his general field assignment and the training dates. If another FTO is used, he will enter his name on line 2 with the inclusive dates.
- Upon completion of the 4-week field training period, this guide will be returned to the Training Division.
- The Training Division will forward this guide to the recruit's first unit of assignment after completion of academy training. The unit commander will assign another FTO who will insure that the recruit receives the remainder of his field training. Upon completion, the recruit will sign this form in the space provided below, and this guide will be returned to the Training Division.
- Training Division personnel will review the completed guide. If all items have been completed satisfactorily, this guide will be filed in the officer's personnel folder.

THE RECRUIT HAS BEEN INSTRUCTED IN ALL ITEMS LISTED IN THE FIELD TRAINING GUIDE

SIGNATURE OF RECRUIT	DATE
SIGNATURE OF TRAINING DIVISION REVIEWER	DATE



FIELD TRAINING OFFICER INSTRUCTION GUIDE

Initials of Field Training
Officer and Dates
Explained and/or
Demonstrated Performed

I. PERSONAL ITEMS

1. Police and the public
 - a. Congregation or loitering at crime scenes, coffee shops, stores, etc.
 - b. Contacts with women
 - c. Driving habits
 - d. Wearing of the uniform
2. Command presence and courtesy
3. Precaution; preparation for anything
4. Personal conduct
 - a. Smoking in public
 - b. Offensive mannerisms and gestures
 - c. Voice and word usage
5. Non-acceptance of gratuities and rewards
6. Rapport with fellow officers and supervisors

Initials of Field Training
Officer and Dates

	<u>Explained and/or Demonstrated</u>	<u>Performed</u>
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II. PREPARATION FOR PATROL

1. Personal appearance and hygiene
2. Uniform and equipment check
3. Locker use and arrangement
4. Information necessary for patrol
5. Roll-call procedures
6. Vehicle and equipment inspection
7. Vehicle servicing

III. ARREST PROCEDURES

1. Making an arrest
 - a. Proper time
 - b. Search incident to arrest
 - c. With or without a warrant
 - d. Felony and misdemeanor
 - e. Force
 - f. Club and handcuffs
 - g. Pistol
 - h. Legal and moral aspects of shooting

		Initials of Field Training Officer and Dates	
		<u>Explained and/or Demonstrated</u>	<u>Performed</u>
2.	Searching a person - (males and females)		
	a. Field		
	b. Jail		
3.	Resisting arrest		
4.	Interfering with arrest		
5.	Removing occupants from vehicles -		
6.	Information gathered at time of arrest		
7.	Transporting prisoners		
	a. Use of auto; alone, with another officer		
	b. Patrol wagon; when to use		
	c. Care and watchfulness, prevent prisoner from getting behind officer		
	d. Extra precautions for selected prisoners		
	e. Recording mileage (radio) when bringing in females		
8.	Restrictions on recommending attorneys, bail bondsmen		
9.	Booking and searching operations at station		

		Initials of Field Training Officer and Dates	
		<u>Explained and/or Demonstrated</u>	<u>Performed</u>
10.	Prisoner's property control procedures		
11.	Handling prisoners in detention facility		
12.	Proper clearances and release procedures		
IV.	<u>USE OF POLICE RADIO</u>		
1.	Use of car radio		
	a. Position to hold microphone		
	b. Normal voice		
	c. Phonetic alphabet		
	d. When out of car		
	e. Status of other cars. (If another officer has something important happening, do not use radio except in emergencies)		
	f. Your status		
	(1) Officers Daily Activity Report		
	(2) Radio dispatcher		
2.	Radio code, phonetic alphabet and unit identification		
	a. Important code numbers		
3.	Orientation for dispatching operations		
	a. Preparation of complaint dispatch cards		

Initials of Field Training
Officer and Dates

Explained and/or Demonstrated	Performed
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|---|--|
| <p>b. Multiple responsibilities of the communication section</p> <ul style="list-style-type: none"> ● Telephones ● Police radio ● Point-to-point radio ● Teletype operations and procedures ● Alarm set-up ● "Hot Car" file ● Emergency business data file ● Wanted persons file ● Teletype file ● Stolen property file ● "Status Board" and how it assists dispatchers in controlling police mobile units | |
|---|--|

V. GENERAL OPERATING PROCEDURES

1. Officer's notebook
2. Field interrogation
3. Questioning witnesses
4. Statement-taking
5. Descriptions of property

		<u>Initials of Field Training Officer and Dates</u>	
		<u>Explained and/or Demonstrated</u>	<u>Performed</u>
6.	Descriptions of persons		
7.	Report-writing		
8.	Protecting a crime scene		
9.	Handling evidence		
10.	Taking a dying declaration		
11.	Obtaining ambulance, tow trucks, fire apparatus		
12.	First aid		
13.	Inspection of premises (permits, licenses, buildings, liquor establish- ments, etc.)		
VI.	<u>OFFICER'S RESPONSIBILITIES</u>		
1.	Patrol purposes and responsibilities and general policies		
	a. Crime		
	b. Traffic		
	c. Vice		
2.	Rules affecting officer		
3.	Types of patrol		

Initials of Field Training
Officer and Dates

Explained and/or
Demonstrated Performed

- 4. One-man patrol operations

- 5. Patrol methods and techniques
 (day, evening and night shifts)

- 6. Knowledge of beat; geography, persons,
 property, places and situations

- 7. Observations and perception on patrol

- 8. Developing contacts

- 9. Officer's position in civil matters

- 10. Relations with the public; prejudices,
 attitudes, etc.

- 11. Relations with immediate supervisor

- 12. Relations with command personnel

- 13. Relations with investigative personnel

- 14. Relations with other governmental
 agencies

- 15. Conduct and behavior (on and off duty)

- 16. Pitfalls to be avoided

- 17. Requests for assistance

- 18. Duties in emergency situations

		Initials of Field Training Officer and Dates	
		<u>Explained and/or Demonstrated</u>	<u>Performed</u>
VII.	<u>DRIVING TECHNIQUES</u>		
1.	Proper driving habits		
	a. Public opinion regarding officers disobeying traffic laws		
	b. Defensive driving		
	c. Driving in inclement weather		
	d. Proper parking		
2.	Downtown and residential driving techniques		
3.	Answering routine calls		
4.	Identification and apprehension of traffic violators		
	a. Stopping violators so not to impede other traffic		
	b. Use of red light, siren and spotlight		
	(1) Daylight		
	(2) Darkness		
	c. Positioning patrol car in relation to violator		
5.	Stopping wanted or stolen vehicles		
	a. When assistance is necessary		
	b. Selecting suitable location		
	c. Parking police car in relation to suspect car		

		Initials of Field Training Officer and Dates	
		<u>Explained and/or Demonstrated</u>	<u>Performed</u>
6.	Pursuit driving		
7.	Tailing suspects		
8.	Driving and parking in emergencies		
	a. What constitutes an emergency		
	b. Use of red light and siren		
9.	Burglary-in-progress or prowler-type call		
	a. Approach		
	b. Procedures for suspect at scene or running away		
	c. Arrival at assigned position		
	● Need for lights out		
	● Eliminate noise		
	● Direct or indirect approach to scene		
10.	Robbery-in-progress calls		
	a. Approach		
	b. Secondary assignment		
11.	Fire calls		
	a. Approach hazards		
	b. Assisting fire trucks through dangerous intersections		
	c. Parking in position for traffic control		

		Initials of Field Training Officer and Dates	
		<u>Explained and/or Demonstrated</u>	<u>Performed</u>
VIII.	<u>PATROL TACTICS</u>		
1.	Inspectional procedures and techniques		
	a. Shopping centers		
	b. Vacation home checks		
2.	Open doors and windows		
3.	Finding a burglary, search of premises		
4.	Burglary in progress		
5.	Robbery in progress		
6.	Bank alarm		
7.	Suspicious character and prowler calls		
8.	Searching yards and alleys		
9.	Blockades		
10.	Searching quadrant		
11.	Stakeouts		
12.	Man with a gun calls		
13.	Conducting a raid		

Initials of Field Training
Officer and Dates

<u>Explained and/or Demonstrated</u>	<u>Performed</u>
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| 14. | Crowds, mobs and riots | |
| 15. | Demonstrations | |
| 16. | Strike Duty | |
| 17. | General duty alert. | |
| 18. | Bomb threats | |
| 19. | Guarding prisoner | |

IX. GENERAL INVESTIGATIONS

- | | | |
|----|--|--|
| 1. | Elements of crimes | |
| 2. | Investigation of a felony | |
| 3. | Modus operandi | |
| 4. | Investigation of murder, rape and assault | |
| 5. | Investigation of robbery | |
| 6. | Investigation of residential and commercial burglaries | |
| 7. | Investigation of safe burglary | |

		Initials of Field Training Officer and Dates	
		<u>Explained and/or Demonstrated</u>	<u>Performed</u>
8.	Investigation of car theft		
9.	Investigation of suspicious cars		
	a. Occupied		
	b. Unoccupied		
10.	Investigation of stolen property		
11.	Investigation of larcenies, shoplifting		
12.	Investigation of purse-snatching and pickpocket		
13.	Investigation of stolen auto accessories and theft from auto		
14.	Investigation of stolen bikes		
15.	Investigation of miscellaneous theft		
16.	Investigation of bad checks		
17.	Investigation of frauds		
18.	Investigation of embezzlements		
19.	Investigation of extortion		
20.	Investigation of counterfeiting		
21.	Investigation of suicides and unexplained deaths		

Initials of Field Training
Officer and Dates

	<u>Examined and/or Demonstrated</u>	<u>Performed</u>
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22. Crime scene measurements and sketching

X. TRAFFIC PROCEDURES

1. Police officer's responsibility for traffic enforcement and control

2. Traffic laws and ordinances

3. Enforcement index

4. Selective enforcement (time, place, violation)

5. Recognizing traffic violation

a. Evidence for conviction

b. Moving violation

c. Equipment violation

d. Other violation

6. Approaching and handling traffic violator

7. Enforcement

a. Use of warning

(1) Verbal

(2) Written

b. Use of citation

		Initials of Field Training Officer and Dates	
		<u>Examined and/or Demonstrated</u>	<u>Performed</u>
c.	Arrests		
	(1) Optional situation		
	(2) Mandatory		
	(3) With warrant		
8.	Parking violation enforcement		
a.	Meter		
b.	Time zone		
c.	Prohibited areas		
9.	Accident investigation		
a.	Handling injuries		
	(1) First aid		
	(2) Summoning aid		
b.	Handling scene		
	(1) Safeguards		
	(2) Traffic routing		
c.	Locating drivers and witnesses		
d.	Interviewing drivers and witnesses		
e.	Photographing, measuring and sketching traffic accidents		
f.	Determining responsibility		
g.	Issuing citations		
h.	Reports		

		<u>Initials of Field Training Officer and Dates</u>	
		<u>Examined and/or Demonstrated</u>	<u>Performed</u>
10.	Driving while intoxicated cases		
	a. Observations		
	b. Sobriety report		
	c. Chemical test		
	d. Enforcement action		
	(1) Custody		
	(2) Non-custody (hospitalization)		
11.	Hit-run accident investigation		
	a. Injury - non injury		
	b. Evidence at scene		
	c. Locating and interviewing witnesses		
	d. Following trail of evidence to responsible party		
	e. Alerting other police units of suspect vehicle		
12.	Pedestrian violations		
13.	Radar in traffic enforcement		
14.	Vehicle identification; registration, license number and vehicle identification number		
15.	Driver identification; operator license		
16.	Traffic direction and control		
	a. General rules of traffic control		

		Initials of Field Training Officer and Dates	
		<u>Explained and/or Demonstrated</u>	<u>Performed</u>
	b.	Standing where clearly visible	
	c.	At a street corner with and without signals	
	d.	At an accident scene	
	e.	Proper use of flares	
	17.	Police emergency escorts	
XI.	<u>VICE CONTROL</u>		
	1.	Prostitution cases	
	2.	Gambling cases	
	3.	Liquor law violations	
	4.	Narcotic peddlers and addicts	
	a.	Opiates	
	b.	Marijuana	
	c.	Dangerous drugs	
	5.	Relationship to organized crime	
XII.	<u>JUVENILE PROCEDURES</u>		
	1.	Juvenile involvement in crime	
	2.	Gaining respect of juveniles	

		Initials of Field Training Officer and Dates	
		<u>Explained and/or Demonstrated</u>	<u>Performed</u>
3.	Interviewing female juveniles		
	a. In presence of another officer		
	b. In presence of matron or parent		
	c. In presence of school official		
4.	Using neighborhood juvenile as sources of information		
5.	Juvenile officers		
	a. Duties		
	b. Assistance rendered		
6.	Selected cases		
	a. Malicious mischief and BB guns		
	b. Runaways and truancy		
	c. Juvenile liquor law violations		
	d. Glue sniffing		
	e. Child neglect cases		
	f. Battered and abused child cases		
7.	Juvenile gangs		
8.	Relationship with other agencies involved with juveniles: (schools; recreation; welfare; probation, etc.)		
9.	Transporting juveniles		
	a. To station		

		Initials of Field Training Officer and Dates	
		<u>Explained and/or Demonstrated</u>	<u>Performed</u>

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| | b. | To detention | |
| | c. | Notification of parents or probation officer | |
| | d. | Reports and forms used | |
| 10. | | Disposition of juvenile cases | |
| 11. | | Juvenile traffic offender | |
| 12. | | Missing and found children | |

XIII. HANDLING PEOPLE

- | | | | |
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| | 1. | Emphasizing the specific techniques and skills necessary in dealing with the following: | |
| | a. | Wanted persons | |
| | b. | Missing persons | |
| | c. | Mental cases | |
| | d. | Transients | |
| | e. | Vagrants | |
| | f. | Beggars | |
| | g. | Peddlers | |
| | h. | Street corner orators | |
| | i. | Sex perverts | |
| | j. | Drunken persons | |

Initials of Field Training
Officer and Dates

Explained and/or Demonstrated	Performed
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XIV. DISTURBANCE OF THE PEACE PROCEDURES

1. Neighborhood disputes
2. Family quarrels, domestic situations
3. Preserving the peace
4. Simple assault
5. Nuisances
6. Vehicular disturbance
7. Loud noise, party, etc., complaints
8. Street meetings, demonstrations
9. Trespassing

XV. PROPERTY CONTROL

1. Lost property
2. Found property
3. Safekeeping property
 - a. Prisoner
 - b. Deceased person
 - c. Property turned in

		Initials of Field Training Officer and Dates	
		<u>Explained and/or Demonstrated</u>	<u>Performed</u>
4.	Contraband		
5.	Releasing property		
6.	Destroying property		
XVI.	<u>LEGAL PROCESSES</u>		
1.	Obtaining complaints		
2.	Obtaining and executing search warrants		
3.	Obtaining and executing arrest warrants		
4.	Extradition procedures		
5.	Serving subpoenas and summonses		
6.	Mental commitment process		
7.	Rules of evidence and exceptions		
8.	Case preparation for court prosecution		
9.	Courtroom testimony and demeanor		
XVII.	<u>HAZARDS</u>		
1.	Detecting and reporting hazards		
2.	Fire hazards		

Initials of Field Training
Officer and Dates

	<u>Explained and/or Demonstrated</u>	<u>Performed</u>
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- 3. Crime hazards
- 4. Traffic hazards
- 5. Insecure premises
- 6. Defective conditions in public property;
street, sidewalk, etc.
- 7. Attractive nuisances
- 8. Live wires
- 9. Light outages

XVIII. ANIMAL COMPLAINTS

- 1. Found animals
- 2. Wounded or injured animals
- 3. Dead animals
- 4. Shooting animals
- 5. Animal bite cases
- 6. Rabid animals
- 7. Animal nuisances
- 8. Cruelty to animals

		Initials of Field Training Officer and Dates	
		<u>Explained and/or Demonstrated</u>	<u>Performed</u>
XIX.	<u>CITIZENS' REQUESTS</u>		
1.	Requests for assistance		
	a. Medical aid		
	b. Invalid		
	c. Other		
2.	Landlord-tenant disputes		
3.	Mechanic and baggage liens		
4.	Failure-to-pay cases		
	a. Taxi		
	b. Bus		
	c. Restaurant		
5.	Citizen arrests		
6.	Information and direction		
XX.	<u>INFORMATION</u>		
1.	General sources of information available		
2.	Obtaining record, warrant and vehicle checks		
3.	Conducting record searches		

Initials of Field Training
Officer and Dates

<u>Explained and/or Demonstrated</u>	<u>Performed</u>
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| <ul style="list-style-type: none"> a. Alpha files (master index) b. Case (report) files c. Criminal history files d. Known offender and nickname files e. Mug shot files f. Warrant files g. Accident files h. Other files | |
| <p>4. Information and assistance available from other official agencies</p> <ul style="list-style-type: none"> a. Local b. County agencies c. State agencies d. Federal agencies | |
| <p>5. Sources of information on beat</p> | |
| <p>6. Press relations</p> | |
| <p>7. Use of police and public library</p> | |

XXI. MISCELLANEOUS RESPONSIBILITIES

- 1. Handling public gatherings and parades

		Initials of Field Training Officer and Dates	
		<u>Explained and/or Demonstrated</u>	<u>Performed</u>
2.	Discovery of fire, duties at fire		
3.	Abatement of attractive nuisances		
4.	Enforcement of parking violations		
	a. Driveways		
	b. Private property		
5.	Enforcing health and welfare ordinances, i. e. , bonfire; dumping garbage		
6.	Taxi ordinance		
7.	Notifications, death messages		
8.	Parks, waterways, game law violations		
9.	Permits and licenses		
XXII.	<u>ORGANIZATIONAL PROCEDURES</u>		
1.	Checking on and off duty		
2.	Days off		
3.	Overtime		
4.	Leaves of absence		
	a. Vacation		
	b. Military		

		Initials of Field Training Officer and Dates	
		<u>Explained and/or Demonstrated</u>	<u>Performed</u>
c.	Sick		
d.	Injury		
e.	Death in family		
5.	Equipment and uniform regulations		
a.	Issue		
b.	Use		
c.	Loss and replacement		
6.	Care of police vehicles		
a.	Assignment		
b.	Accident		
c.	Damage		
d.	Maintenance		
e.	Reports		
7.	Discharge of firearms		
a.	Accidental		
b.	Duty		
8.	Investigation of complaints against personnel		
a.	Procedures		
b.	Reports		
9.	Disciplinary procedures		

		Initials of Field Training Officer and Dates	
		<u>Explained and/or Demonstrated</u>	<u>Performe</u>

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| 10. | Mail | | |
| | a. Incoming | | |
| | b. Distribution | | |
| | c. Outgoing | | |
| 11. | Transfers | | |
| 12. | Performance evaluation | | |
| 13. | Outside employment regulation | | |
| 14. | Change of address and phone number | | |
| 15. | Changes in personal or family status | | |
| | a. Marriage, divorce | | |
| | b. Dependents | | |
| 16. | Contagious disease contact | | |
| 17. | Court appearance | | |
| | a. Subpoena | | |
| | b. Civil cases | | |

XXIII. USE AND/OR PREPARATION OF THE
FOLLOWING FORMS

1. Field offense reports

		<u>Initials of Field Training Officer and Dates</u>	
		<u>Explained and/or Demonstrated</u>	<u>Performed</u>
2.	Vehicle accident report		
3.	Arrest report		
4.	Traffic citation or summons		
5.	Non-traffic citations and summonses, i. e. , juvenile, misdemeanor, etc.		
6.	Daily bulletin		
7.	MO bulletin; crime and traffic analyses bulletins		
8.	Stolen vehicle list		
9.	Activity report		
10.	Sick and injury reports		
11.	Equipment and uniform damage claim		
12.	Manuals, report-writing; G. O. ; rules and regulations, training; SOP's, etc.		
13.	Business cards		
14.	Statistical reports- daily, weekly, monthly		
15.	Organization phone directory		

Initials of Field Training Officer and Dates	
<u>Explained and/or Demonstrated</u>	<u>Performed</u>

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| 16. | Field contact form | |
| 17. | Field sobriety form | |
| 18. | Hospital reports | |
| 19. | City vehicle accident report | |

XXIV. UNLISTED ITEMS (To be entered by FTO)

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| 1. | | |
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| 8. | | |
| 9. | | |
| 10. | | |
| 11. | | |

FIELD TRAINING OFFICER WEEKLY PROGRESS REPORT

NAME OF TRAINEE	TRAINING CLASS #	REPORT DATE
FIELD ASSIGNMENT	WEEKLY PERIOD (CHECK APPROPRIATE BOX) 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3 <input type="checkbox"/> 4 <input type="checkbox"/>	

Check appropriate boxes in the rating areas shown below. Since this form will assist you in preparing your final evaluation of the trainee, be as objective as possible. If you wish to elaborate further on a particular rating, identify the item on the reverse of this form and make your comments.

FACTOR	NEEDS IMPROVEMENT			ACCEPTABLE	
	INADEQUATE	WEAK	FAIR	GOOD	OUTSTANDING
APPEARANCE					
Uniform, leather and equipment	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Posture and carriage (cruiser, substation, public places)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Personal (cleanliness, hair, nails, shave)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
COOPERATION AND LOYALTY					
Works toward a common end with others	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Willingness to assume additional responsibility	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Supports his superiors	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Good team worker	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
INTEREST AND ATTITUDE					
Seeks help with problems	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Willingness to learn	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Attitude toward constructive criticism	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Accepts direction and discipline	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Attitude toward department policies	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Shows pride in his work	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Contributes to good morale	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Confidence in himself	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
PUBLIC CONTACT					
Attitude toward citizens	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Ability to express himself and communicate	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Ease and bearing	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Tact and discretion	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Self control	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
JUDGMENT					
Common sense	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Judgment under pressure	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

FACTOR	NEEDS IMPROVEMENT			ACCEPTABLE	
	INADEQUATE	WEAK	FAIR	GOOD	OUTSTAND
DRIVING ABILITY					
Exercises speed control	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Familiar with defensive driving practices	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Properly uses red light and siren	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Knows the hazards of high-speed driving	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Understands importance of safety	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Parks vehicle properly during officer-violator contacts	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
REPORT WRITING					
Able to express himself in writing	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Uses proper grammar and punctuation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Produces accurate, complete and neat reports	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Familiar with department reports and understands their purpose and use	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
GENERAL PROGRESS TO DATE					
COMMENTS					
FIELD TRAINING OFFICER SIGNATURE	COMMANDING OFFICER SIGNATURE			DATE	

FIELD TRAINING OFFICER EVALUATION REPORT

NAME OF TRAINEE		TRAINING CLASS #	REPORT DATE
FIELD ASSIGNMENT		FIELD ASSIGNMENT DATES FROM _____ TO _____	
FACTOR	COMMENT		
ENFORCEMENT CONTACTS Evaluate trainee's (1) knowledge of traffic and criminal laws and pertinent departmental policies and procedures; (2) judgment in issuing citations and warnings, and in effecting arrests; and (3) ability in detecting, pursuing and apprehending violators and his skill in applying established methods and tactics during enforcement contacts.			
PUBLIC CONTACTS What is his attitude, conduct and language in public places? Does he discuss police activity in public? What appearance and manner does he present to the public? Is he at ease or ill at ease when meeting the public? Does he expect and accept free handouts?			
RELATIONS WITH OFFICIAL AGENCIES How does he get along with representatives of other law enforcement agencies? Does he have a friendly and cooperative attitude with employees of other official agencies?			
ACCIDENT INVESTIGATION Does he understand and practice recommended procedures? Does he obtain all necessary information? Does he base his opinions on factual information?			
PATROL OPERATIONS Does he understand and practice proper patrol techniques? Can he identify potential hazards? Can he identify and is he familiar with high crime and traffic incident areas? Can he identify major thoroughfares and is he familiar with shortest routes to various places and topography?			
EMERGENCY SITUATIONS Does he have the ability to make proper decisions while under pressure? Can he recognize and correctly evaluate true emergency situations? Is he familiar with available resources for handling emergencies? Can he use approved first aid techniques?			
REPORT WRITING Does he express himself well? Does he use proper grammar and punctuation? Does he understand the difference between necessary and unnecessary material? Does he produce accurate , complete and neat reports? Is he familiar with all pertinent reports and does he understand their purpose and use?			

FACTOR	COMMENT
<p>DRIVING ABILITY</p> <p>Does he exercise speed control and is he familiar with defensive driving practices? Is he aware of the hazards of high-speed driving? Does he make proper use of the red light and siren? Does he have proper concern for his own safety as well as the violator's safety? Does he park his vehicle properly during officer-violator contacts and accident investigations?</p>	
<p>ATTITUDE AND PROFESSIONAL BEARING</p> <p>Does he have a sincere desire to improve himself? Does he want to learn? What is his attitude towards his job and the department? Does he accept direction properly?</p>	

WRITTEN SUMMARY OF EVALUATION

RECOMMENDATIONS

I recommend (do not recommend) that this trainee be released to regular assignments.

SIGNATURE OF FIELD TRAINING OFFICER

TRAINEE PERFORMANCE EVALUATION REPORT

SECTION I

1. NAME (LAST, FIRST, MI)	2. DATE	3. CLASS #	4. NO. OF WKS. OF TRNG. COMPLETED	RATING PERIOD: FROM _____ TO _____
5. MAJOR SUBJECTS TAUGHT		6. RATING BASIS: <input type="checkbox"/> CLOSE DAILY CONTACT <input type="checkbox"/> FREQUENT OBSERVATION <input type="checkbox"/> REPORTS		

SECTION II

7. PERFORMANCE EVALUATION (IF RATING IS (4), (2), OR LESS, EXPLAIN IN COMMENTS)

RATER					INDORSER					
Un- sat.	Needs Attn.	Does Well	Out- standg.	Un- known		Un- sat.	Needs Attn.	Does Well	Out- standg.	Un- known
1.	2.	3.	4.			1.	2.	3.	4.	
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	(A) ATTITUDE TOWARD STUDIES	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	(B) ATTITUDE TOWARD INSTRUCTORS	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	(C) ATTITUDE TOWARD FELLOW STUDENTS	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	(D) ABILITY TO UNDERSTAND- (Job capabilities)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	(E) FOLLOWS DIRECTIONS	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	(F) QUALITY OF NOTES & REPORTS	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	(G) ATTENDANCE (Tardiness)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	(H) APPEARANCE (Poise)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	(I) PHYSICAL CONDITION	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	(J) OBSERVES REGULATIONS	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	(K) SCHOLASTIC ACHIEVEMENT	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	(L) VOICE, VOCABULARY, PRONUNCIATION	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

COMMENTS	COMMENTS
----------	----------

SECTION III

8. POTENTIAL EVALUATION

RATER	INDORSER
<input type="checkbox"/> (O) THE MOST OUTSTANDING TRAINEE I HAVE KNOWN	<input type="checkbox"/>
<input type="checkbox"/> (P) ONE OF THE FEW HIGHLY OUTSTANDING TRAINEES	<input type="checkbox"/>
<input type="checkbox"/> (Q) A VERY FINE TRAINEE WHO IS AN ASSET TO HIS CLASS	<input type="checkbox"/>
<input type="checkbox"/> (R) A TYPICALLY EFFECTIVE TRAINEE	<input type="checkbox"/>
<input type="checkbox"/> (S) AN ACCEPTABLE TRAINEE WHOSE VALUE IS LIMITED IN SOME RESPECTS	<input type="checkbox"/>
<input type="checkbox"/> (T) PERFORMS ACCEPTABLY IN A LIMITED RANGE OF ASSIGNMENTS BUT COULD EASILY BE REPLACED	<input type="checkbox"/>
<input type="checkbox"/> (U) WILL NOT MAKE AN ACCEPTABLE POLICE OFFICER	<input type="checkbox"/>

SECTION IV

9. PERSONALITY PROSPECTUS. CONSIDERING ONLY TRAINEES OF HIS SAME AGE GROUP, WHAT IS YOUR OPINION OF THIS CANDIDATE'S EMOTIONAL MATURITY?

(a) RATER:

(b) INDORSER:

SECTION V

10. OVERALL EVALUATION:

(a) SPECIAL INCIDENTS

(b) MERITS OR DEMERITS

(c) COMMENTS OF RATER:

(d) COMMENTS OF INDORSER:

11. RATER'S NAME - RANK

12. INDORSER'S NAME - RANK

DATE

SIGNATURE

DATE

SIGNATURE

APPENDIX VI

Recommended IACP Reporting Guide

IACP REPORTING GUIDE

Police Management Division

INTERNATIONAL ASSOCIATION OF CHIEFS OF POLICE

Eleven Firstfield Road, Gaithersburg, Maryland 20760

IACP REPORTING GUIDE

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IACP REPORTING GUIDE

The IACP Reporting Guide has been developed to provide a system for operational reporting in police departments of varying size. Basic guidance for obtaining information, for selecting the proper report form, and for recording full information at the scene of an incident is contained herein. Content materials have been prepared in such form that they may be readily extracted, reproduced, and used in a report-writing guide prepared by the department.

The guide will be most useful when presented in loose-leaf form with appropriate instructions for each report printed on tabbed dividers. This permits revisions and places the instructions in a convenient location when needed.

Objectives

This guide is designed to provide members of the department with a concise set of instructions concerning the proper report forms to be used under a given set of circumstances as well as instructions as to the execution of each report form. The forms themselves and other material contained herein, including the descriptions of persons and property, will serve as interviewing aids in many instances.

Purpose of the Reports

From the standpoint of members of the department it is important that every assignment to a call for police service be recorded. This protects the department and the officer handling the investigation from unwarranted accusations that improper police action was taken or that nothing was done at all.

Reports are necessary to serve as the official memory of the department, but beyond this they serve to insure that the report of an investigation is available for use by other members of the department who may be called upon to investigate the matter further.

Even more important, supervising officers must give supervision and guidance to their subordinates in individual investigations. One way to accomplish this is to record the action taken on a report which is turned over to the reporting officer's superior for review and approval. In addition to reviewing the propriety of actions taken in individual cases, supervisory personnel will use reports to evaluate the work performance of members under their command.

The data compiled from individual reports provide a basis for analyzing crime and determining manpower needs and assignments, and aid in budget preparation.

Maintenance and Inspection

As report-writing procedures are revised or changed or when a particular report is eliminated, added, or revised, new instruction pages should be published and issued for revision of the department reporting guide.

The inspections unit of the department should conduct periodic inspections of the recording and reporting procedures as well as the written contents of the reporting guide to detect discrepancies and/or need for change.

Defects or discrepancies noted in the reporting process which come to the attention of supervisory personnel or commanders should be reported to the Planning and Research Section of the department for correction.

Section 1 - Duties and Responsibilities

Communications Center Responsibilities

Information coming to the attention of any member of the Police Department concerning criminal complaints, requests for police service, and notifications of other police incidents including traffic accidents should be recorded on a Complaint Control Card. This procedure:

- Establishes a staff control for proper administration and planning in an orderly manner, and at a central point.
- Insures that proper action was taken by investigating personnel for every call for police service.

Complaint Numbers

Every Complaint Control Card will have a distinctive complaint number. Each complaint clerk will have at his disposal a supply of unnumbered Complaint Control Cards. The reporting year will commence on January 1 and close on December 31. (Note: In some departments, complaint reception and dispatching may be conducted by the same person; therefore, the duties discussed for both positions will be combined.)

When to Prepare a Complaint Control Card

Each and every incident or request for police service will be recorded on the Complaint Control Card, illustrated herein, by complaint clerks of the communications center.

All members of the department receiving complaints, on-view or otherwise and no matter what the source, requiring action by the department, will contact a complaint clerk as quickly as possible for the assignment of a complaint number. Each crime coming to the attention of members by questioning suspects or by other means must also receive a complaint number.

Complaint numbers, when requested, will be assigned for investigations pertaining to vice and other matters which are generally confidential in the preliminary stages of investigation. The assigned investigator need only request a complaint number from the complaint clerk. This "confidential" number creates a staff control record through which a later accounting for the investigation may be made. Numbers issued in this manner will be reported to the person in charge of inspectional services.

Complaint numbers will not be assigned for moving traffic violations or parking tickets that were issued because of a nonaccident-type situation. The numeric controls instituted on these traffic citations are sufficient.

Complaint Clerk

Upon receipt of a complaint or other call for police service, the complaint clerk will record the preliminary data on a numbered Complaint Control Card. Some of the most frequent calls for police service are listed for check-off purposes. He will date-time stamp the report in space provided as receiving the complaint or call for police service. The name, address, and telephone number of the complainant should be obtained whenever possible. Definite information should be requested so that the proper nature of the incident may be recorded and, more importantly at that juncture, so that the assigned officer may be apprised sufficiently of the situation at the scene of the complaint.

Supervisory scrutiny and inquiry should be made of all Complaint Control Cards that are not properly prepared. This is essential because too many assignments are of the "complainant wants to see an officer" variety. True, there are times when it would be unwise to prolong the conversation with the complainant rather than dispatch an officer, but they are relatively few in number. It is absolutely essential that an officer assigned to a call for service be supplied with sufficient information to apprise him of the situation at the scene of the complaint.

The complaint clerk then passes the Complaint Control Card to the dispatcher.

Dispatcher

Upon receiving the Complaint Control Card, the dispatcher will select an appropriate mobile radio unit to respond. The district and unit(s) assigned are entered in space provided and the Complaint Control Card is again date-time stamped. The Complaint Control Card is then placed in the unit(s) electronic slot on the radio console denoting the fact that a unit is on assignment.

When unit(s) complete their assignment, which includes completion of the appropriate report, the dispatcher will pull the Complaint Control Card, give the complaint number to the unit if it has not already been transmitted, time-stamp, complete all other entries, and administratively route the card to central records for staff review.

In the event that backup cars are assigned to assist the primary unit, the dispatcher will proceed as follows:

- Prepare the Complaint Control Card for the primary unit as required, and write in those unit numbers assigned backup duty.
- A separate Complaint Control Card should also be prepared for each backup unit assigned utilizing the same central complaint number.

Whenever a unit responds to a call for service and it is determined that said request is a Supplemental (follow-up) Report to a previous complaint, the unit will advise the dispatcher of same. The Complaint Control Card will be marked N/R by the dispatcher, indicating no report for the issued complaint number. A Supplemental Report will be filed utilizing the original complaint number.

A complaint number is issued for all accidents. Whenever an accident results in death, a Supplemental Report may be used in addition to the accident report to record all details.

COMPLAINT CONTROL CARD and MISCELLANEOUS INCIDENT REPORT

COMPLAINT CONTROL CARD AND MISCELLANEOUS INCIDENT REPORT	COMPLAINANT	COMPLAINT CONTROL NUMBER		NATURE OF COMPLAINT/SERVICE				DATE/TIME					
		COMPLAINT LOCATION (STREET NUMBER AND NAME) (APT. NO./FLOOR)						CORNER <input type="checkbox"/> NW <input type="checkbox"/> NE <input type="checkbox"/> SW <input type="checkbox"/> SE		COMPL. RCV'D.		DISP. ACKN.	
	COMPLAINANT'S NAME <input type="checkbox"/> REFUSED (LAST) (FIRST) (MID. INIT.)						TEL. NO.		UNIT ARR'D.		RET'D. SERV.		
	COMPLAINANT'S ADDRESS <input type="checkbox"/> SAME AS ABOVE (STREET NUMBER AND NAME)						COMPL. <input type="checkbox"/> TEL. <input type="checkbox"/> WALK IN REC'D. <input type="checkbox"/> FIELD <input type="checkbox"/> MAIL/TTY		UNIT ASSIGNED		UNIT/S ASSIST.		
COMPLAINANT DATA	IDENTIFIED <input type="checkbox"/> FIRE <input type="checkbox"/> RESCUE <input type="checkbox"/> INVESTIGATION <input type="checkbox"/> OTHER (SPECIFY) <input type="checkbox"/> AMBUL. <input type="checkbox"/> TOW <input type="checkbox"/> CORONER						REVISED CODE						
	REVIEW												
	INITIAL		COMPLAINT NUMBER		X	MO.	DAY	TIME	COMPLAINT CLASS		BEAT/STREET NUMBER		REPORTING/STREET AREA NAME

FRONT

VEHICLE										PERSONS										DATE/TIME			
COLOR	YEAR	MAKE	NO. 1	SEX	RACE	AGE	HGT	WGT	HAIR	EYES	NO. 2	SEX	RACE	AGE	HGT	WGT	HAIR	EYES	DESCRIP. BROADCAST				
STYLE	BODY			COMP.	GLASSES	CLOTHING		COMP.	GLASSES	CLOTHING													
LIC. NO.		LIC. YR.		OTHER IDENTIFYING INFORMATION		DIRECTION OF FLIGHT ON						NOTIFICATIONS MADE											
STATE		LIC. TYPE		ADDITIONAL INFORMATION, DETAILED DISPOSITION, OTHER REMARKS																			
														REPORT SUBMITTED <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>									
														MIR OFFENSE VEHICLE ARREST ACCIDENT									
														INCIDENT, DISPOSITION & HAZARD CODES									

BACK

When a mobile radio unit is dispatched to an accident scene and another agency is already on the scene and is handling same, no additional report will be required.

Whenever a mobile unit is dispatched on a minor incident—hole in road, assistance to motorist, parking complaint, notification, etc.—the responding officer will advise the dispatcher that no report will be made.

Detailed Preparation—Complaint Control Card

1. Front of Complaint Control Card

Complaint Control Number - Complaint clerks will enter in this block the chronological complaint number of the complaint, investigation, or other incident requiring police attention. The only exception to this rule shall be those entries authorized to be reported on an Administrative Control Card.

Nature of Complaint/Service - The complaint clerk will write the nature of the complaint in this box. (See Section 5, Table 4, for list of offenses and incidents generally brought to the attention of the department for investigation.)

Complaint Location - Write here the exact location of the incident. Whenever it is determined by the complaint clerk that the call for service is an apartment, that apartment number will be included in this box. The complaint clerk will also ascertain, whenever possible, the floor of the addressed location for the call for service and include the information in this box.

Corner - NW - NE - SW - SE - A corner designation will be checked, upon receipt of this information, by the complaint clerk.

Complainant's Name - The complaint clerk will ascertain the name of the complainant or reporting person and write same in this box. When the officer obtains a complaint number for an incident for which he was not dispatched, "on view" will be written in this box.

Refused - This box will be checked by the complaint clerk if the complainant refuses to give his name.

Telephone Number - The complaint clerk will attempt to ascertain the telephone number of the reporting person in the event that further information may be needed.

Complaint Received - telephone - walk-in - field - mail - teletype - The proper box will be checked to indicate how the complaint was originally reported.

Complainant's Address - The complaint clerk will ascertain the address of the complainant or reporting person and write same in this box. If the address is the same as the complaint location, the box marked "same as above" will be checked.

Void - in progress - duplicate report - no unit dispatched - follow-up - other - The proper box will be checked to indicate status of the complaint.

Unit Assigned - The radio dispatcher will write in this box the numeric identifier of the primary unit assigned to this call for service.

Unit/s Assisting - Whenever an assisting unit is assigned as backup to a primary unit, the radio dispatcher will place the assisting unit's number in this box.

Date/Time - The complaint clerk will stamp date and time on the Complaint Control Card when the complaint is received. The dispatcher will stamp date and time on the card when the dispatch is acknowledged by the unit assigned, when the unit announces its arrival at the scene, and when the unit returns to service.

Notified - fire - rescue - investigation - ambulance - tow - coroner - other - The radio dispatcher will check the appropriate box to indicate notifications made. When the box "other" is marked, a written entry will be made to identify the agency, unit, or person notified.

Review - Initial - This box will be initialed by the report-review officer or other person assigned to do the coding. This same officer will complete the coding entries on the form in the sections titled: Complaint Number - Month - Day - Time - Complaint Classification - Beat/Street Number - Reporting Area/Street Name.

Revised Code - This section of the form will be used to record revisions to the initial coding.

2. Reverse Side of Complaint Control Card

Vehicle - This section is used to describe information about vehicles—color, year, make, style, body, license number, license year, state, license type.

Persons - This section is used to describe information about persons (No. 1 and No. 2)—sex, race, age, height, weight, hair, eyes, complexion, glasses, clothing.

Other Identifying Information - This section is used to describe other identifying information not contained above for a vehicle or persons.

Direction of Flight - The direction of flight and on which street should be entered in this box.

Additional Information, Detailed Disposition, Other Remarks - This section is used to record any additional information regarding the initial complaint, notification, descriptions of vehicles or persons, etc. This section may also be used to provide further information to other agencies on referrals. Additional details may also be entered here when the card is used for total reporting under the Miscellaneous Incident Reporting (MIR) system.

Date/Time - Description Broadcast - The dispatcher will date and time stamp each occasion when a description is broadcast.

Date/Time - Notifications Made - The dispatcher will date and time stamp each occasion when a notification is made by telephone, intercom, or otherwise in connection with the investigation of this complaint.

Report Submitted - This section will be used by the report-review unit of the records center. One or more of the boxes contained herein may be checked depending upon the conditions.

Incident, Disposition & Hazard Codes - The dispatcher will enter the incident, disposition, and hazard codes in this block as reported by the unit assigned from Section 4, Tables 1, 2, and 3.

Administrative Control Card

The Administrative Control Card is used by radio dispatchers to identify instances when any mobile unit goes out of service for any activity not requiring a field report but rendering it unavailable for dispatch on calls. Such activities include, but are not limited to, the following examples:

- All traffic stops
- Court attendance
- Warrant service
- Checking hazards
- Meals
- Delivering messages
- Checking suspicious persons

The Administrative Control Card is also used by radio dispatchers to reflect inquiries by mobile units or department offices on:

- Vehicle registrations
- Stolen vehicles
- Wanted persons
- Stolen property
- Drivers license status

It is required that all mobile units, when notifying radio dispatchers of activity, provide the following information:

- Location of activity
- Nature of activity
- Phone number at location (if convenient)
- If traffic stop—vehicle license plate number and, if out of state, the state of issue
- Disposition of activity
- Activity completion

The Administrative Control Card is also useful in determining the total time spent on nonpatrol duties by field units. The planning unit should evaluate this noneffective patrol time correlating the data with other characteristics involved in manpower-workload distribution studies. A review of these cards will also insure adherence to "break" policies and operational status of automotive and radio equipment.

The form is mostly self-explanatory, but general preparation instructions are set forth as follows:

1. Front of Administrative Control Card

Unit No. - Write in unit number making request or inquiry.

Location - Write in location of condition of where unit will be "out of service."

Telephone Number - Include telephone number where unit can be reached or telephone number of person to be contacted or notified.

Person Notified or to be Contacted - Enter name of person to be contacted or notified.

External - This section is used to note some condition that must be rectified that is not within the scope of the requesting officer or person.

Condition - Check the appropriate box or write in condition existing.

Notified - Check the appropriate box or write in the agency contacted and date-time stamp card.

Internal - An internal section is used for the many situations when a unit is out of service for functions not controlled by a Complaint Control Card. All of these transmissions will be reflected within this section and/or the reverse side of the form.

When a unit goes "out of service"/"in service" the card will be date-time stamped as appropriate.

2. Back of Administrative Control Card

File Checks - The dispatcher, upon request from a unit for a file check on a vehicle, person, or property, will write in appropriate information needed for a search. He will contact the central records "Hot Desk" for information, or route the Administrative Control Card request to central records for the search.

The person conducting the search will fill in the information requested in the blocks set aside for "Vehicle," "Person," or "Property," and sign in space indicated for name, then route the card back to communications for transmission to unit making the request.

IACP ADMINISTRATIVE CONTROL CARD

ADMINISTRATIVE CONTROL CARD

UNIT NO.	LOCATION	TIME
TELEPHONE NO.	PERSON NOTIFIED OR TO BE CONTACTED	OUT OF SERVICE OR NOTIFIED
EXTERNAL		
CONDITION: <input type="checkbox"/> STREET DEFECT <input type="checkbox"/> BREAK <input type="checkbox"/> REPAIRS <input type="checkbox"/> SERVICE <input type="checkbox"/> STREET LIGHT OUT <input type="checkbox"/> TRAFFIC LIGHT OUT <input type="checkbox"/> FOLLOW-UP <input type="checkbox"/> RADIO SERVICE <input type="checkbox"/> OTHER: _____ _____ NOTIFIED: <input type="checkbox"/> PERSON ABOVE <input type="checkbox"/> COURT <input type="checkbox"/> MEET UNIT _____ <input type="checkbox"/> STREET DEPT. <input type="checkbox"/> TRAFFIC DEPT. <input type="checkbox"/> OTHER: _____ _____		<input type="checkbox"/> SUBJECT TO CALL IN SERVICE
INTERNAL		
<input type="checkbox"/> TRANSPORTING <input type="checkbox"/> PATROLLING ON FOOT <input type="checkbox"/> CALL STATION <input type="checkbox"/> CALL NO. ABOVE REMARKS		REVERSE USED <input type="checkbox"/> DISPATCHER

FRONT

FILE CHECKS	SEARCHED BY: _____	NO. _____
VEHICLE		PERSON
<input type="checkbox"/> WANTED ONLY <input type="checkbox"/> REGISTRATION AND WANTED		<input type="checkbox"/> WANTED ONLY <input type="checkbox"/> OPER'S LICENSE
LIC. NO.	STATE YEAR TYPE	NAME, (LAST, FIRST, MIDDLE)
COLOR	YEAR MAKE	ADDRESS
BODY	IDENT. NO.	DOB OPER'S LIC. NO.
LISTED TO:	SEX	RACE HGT WT. HAIR EYES
ADDRESS:	OTHER:	
VEHICLE IF DIFFERENT FROM ABOVE:		
<input type="checkbox"/> NOT WANTED <input type="checkbox"/> NOT IN FILE <input type="checkbox"/> NO RECORD		<input type="checkbox"/> STOLEN OR WANTED FOR _____ COMPLAINT NO. OR AUTHORITY _____

BACK

Patrol Responsibilities

1. Ordinarily, a uniformed patrol officer answers the complaints brought to the attention of the department for investigation. It is he who conducts the initial or preliminary investigations of the offenses or incidents. This involves an interview with the complainant to obtain full details as to what happened. The patrol officer then prepares his report on the results of the investigation.
2. Many incidents, particularly those involving crimes, require subsequent investigation. For the most part, follow-up investigation will be performed by investigative personnel. The results of follow-up investigations will be recorded on Supplemental Reports. The Supplemental Reports will carry the same complaint number as the original field report.
3. Some crimes and offenses will be brought to the patrol officer's attention by means of an on-view arrest or a report made directly to the officer by a private citizen. Under such circumstances, the communications center will be notified by the officer so that a Complaint Control Card may be initiated. On-view arrests for drunkenness and disorderly conduct need be reported by arrest report only. However, a Complaint Control Card must be instituted in each case. Some private citizens also will come directly to headquarters to report an offense in person. Under these circumstances, the communications center must be immediately notified of the incident so that a Complaint Control Card may be made. Following this an appropriate report must be prepared by the officer assigned to the case.
4. The officer assigned a call for service may, because of the gravity or complexity of the crime he is investigating, feel it necessary to call in an investigator. An investigator should ordinarily be called in to assist the patrol officer in the following instances.
 - a. When any on-view felony arrest is made. This is to insure that appropriate action is taken so that a sound basis for prosecution will be developed.
 - b. When any crime of unusual importance is reported. What is "unusual" will vary but, generally, this refers to cases where the extent of injury to the victim is great or where the loss of property is high. Patrolmen are instructed that they will not waste the time of investigators, but, if they err, they should err in favor of calling investigators.

- c. When, in any case, the shift or district commander on duty feels that investigators should be called in.
 - d. When investigators are needed, they may be requested by radio or by telephone. If the preliminary investigation can be completed by the officer assigned and there is no apparent need for immediate follow-up, investigators usually need not be summoned to the scene.
 - e. It will be noted that the description of "preliminary investigation" as used here does not ordinarily include taking written statements from victims or witnesses, as investigators are usually present at crime scenes of major offenses and this should not generally be done by the patrol officers unless he has reason to believe that stories will be changed later. It should be sufficient that they take complete notes on what knowledge each subject possesses. When the patrol officer summons investigators, he should restrict his questioning to basic information required for his report and leave the interrogation to the investigators. However, nothing herein will be construed to limit the scope of a patrolman's investigation except the time that he might be off the air and not available for patrol or other assignment. The ultimate goal of the department is for every patrolman to be a competent investigator.
5. An officer conducting a preliminary investigation shall, as soon as practicable, notify the communications center by telephone of information taken that must be broadcast to field personnel and teletyped to other agencies.

a. Stolen Vehicles - Recovered Vehicles

The following information must be relayed in order that the communications center can broadcast the theft or recovery of a vehicle without delay and provide the necessary data for computer entry:

- (1) License number
- (2) State of registration

- (3) Vehicle identification number, if known
- (4) Year, make, model, color, and body type of vehicle
- (5) Location from which vehicle is stolen; in the event of recovery, location where recovered
- (6) Date and time stolen or recovered
- (7) Name and address of registered owner
- (8) Condition of recovered vehicle
- (9) Any information concerning possible danger to officers who might stop the vehicle

When the theft and recovery of a vehicle are reported on the same report, the officer need not telephone the information for broadcast.

b. Wanted and Missing Persons and Runaway Juveniles

When the investigation concerns wanted and missing persons or runaway juveniles, the communications center must be supplied with the following information:

- (1) Name and address
- (2) Physical description - dress
- (3) Probable or possible destination
- (4) Description of vehicle person may be using

Upon the notification that an individual has been apprehended or returned home, information must be broadcast to cancel outstanding report.

c. Broadcast and APB Responsibility

The communications sergeant is responsible for supervising the release of broadcast and APB information. A copy of each teletype message referring to a wanted person, run-away juvenile, missing person, stolen vehicle, or recovered vehicle shall be forwarded to central records to be attached to and become a permanent part of the case history file.

6. The officer assigned to make a preliminary investigation of a complaint writes his report as part of his assignment before checking "back-in-service." Thus, the report-writing time becomes part of the elapsed time factor for the incident.

Reporting Officer's Responsibilities

1. The reporting officer will report his investigation for each complaint to which he is assigned on the appropriate report form as required by the reporting guide.
2. He will use a black ballpoint pen to handprint his report.
3. The reporting officer is responsible for the accuracy, legibility, and completeness of his report. After completion of the call, he will request a complaint number from the dispatcher and will write same in the space provided on his reports.
4. Reporting officers shall periodically during their tour of duty turn over completed reports to their immediate supervisors for review and approval.
5. The completion of a report does not relieve the reporting officer of the responsibility for maintaining adequate notes of the incident or field investigation in his personal notebook.
6. Whenever an officer has any doubt about whether or not to make a report, he should confer with his field supervisor. If further doubt remains, it should be ruled in favor of submitting a report to cover the incident.

Supervisor's Responsibilities

1. The field supervisor of the reporting officers will pick up completed reports from officers periodically during his tour of duty. He will review the completed reports for the following:
 - a. Legibility
 - b. Completeness
 - c. Satisfactory investigation report with a clear, concise description of events in the narrative section
 - d. Clearing and closing of all incidents and offenses (primarily misdemeanors) whenever feasible to do so
 - e. Adherence to the reporting guide
2. Whenever a field supervisor finds discrepancies in an officer's report as outlined in paragraph 1 above, he will counsel the reporting officer as to proper entries and require that he make the necessary corrections.
3. When the field supervisor is satisfied that the report has been completed in the approved manner, he will sign the report and deliver it to the respective report clerk for delivery to the central records center.

District Responsibilities

1. In the event the department is large enough to be decentralized on a district basis, the district report clerk will detach or make one photocopy of the report for the roll-call board and will send the remaining copies to the report-review unit of the central records center. After use at the next two roll calls, the district copy of the report will be filed in the appropriate temporary reference file maintained by the district. Ordinarily, this copy of the report will be destroyed after 30 days.
2. All reports from the districts or other reporting units are received at the mail section of the central records center where they are time and date stamped and then routed to the report-review unit.

Other Support Unit Responsibilities

Report-Review Function

Personnel assigned to the report-review function will:

1. Match each field report numerically with the Complaint Control Card to insure that a report has been written for each complaint wherein an offense report is required. Enter reporting area on Complaint Control Card and verify beat and district numbers.
2. Check field report for clarity and completeness.
3. Compare Complaint Control Card and field report for conflicting information. Make necessary corrections and route Complaint Control Card for further processing, data processing, and/or filing.
4. In those MIR approved cases wherein a written field offense report is not required, reproduce a copy of the Complaint Control Card by photocopying both sides of the card on a sheet of $8\frac{1}{2} \times 11$ reproduction paper, then file the photocopy by complaint number. Offense report case files will then be complete by complaint number sequence.
5. Review facts of incident reported and assign proper Uniform Crime Reporting disposition on each report in accordance with FBI Uniform Crime Reporting Handbook.
6. Check field report for information to be extracted; use index stamp when additional indices are required for other victims, wanted persons, stolen property, etc.
7. Indicate number of extra copies needed to include outside agencies.
8. Sign field report and route to reproduction unit.
9. Any report not conforming with the reporting guide will be handled as follows:
 - a. A "Request for Correction of Report" will be filled out by the report-review officer noting the discrepancy. This request for correction will be attached to the original copy of

the report and sent back through the respective bureau or division commander to the district captain or other unit commander.

- b. The district captain or unit commander will see that the returned report is corrected and returned through command channels to the report-review officer without delay.

Reproduction Unit

Personnel assigned to reproduction duties will:

1. Reproduce the necessary copies of the field report for proper distribution to follow-up units, files, and interested agencies as indicated on distribution chart or as otherwise indicated by the report-review officer.
2. Reproduce 3 × 5 card indices from the upper right-hand section of the report provided for this purpose or extra indices as indicated by the report-review officer.
3. Type those extra indices as indicated by the report-review officer.
4. Separate reproduced copies and attached related indices so that the mail clerk may make proper distribution to appropriate offices.

Central Records Center

1. The central records center will process, file, and maintain all Offense Reports, Vehicle Reports, Arrest Reports, Supplemental Reports, Accident Reports, Complaint Control Cards, Administrative Control Cards, and cross-references.
2. Reports and cards will be filed in the following manner:
 - a. Offense Reports (including Vehicle Reports) - numerically by complaint number in case files 50 to a folder.
 - b. Arrest Reports - one copy numerically by complaint number in case files and one copy in identification jacket file.

- c. Supplemental Reports - numerically by complaint number in case files.
 - d. Accident Reports - numerically by complaint number in case files. A second copy may be maintained in a location file if such a file is thought to be useful or necessary.
 - e. Complaint Control Cards - numerically by complaint number in tab files.
 - f. Administrative Control Cards - chronologically by date in tab files.
3. 3 × 5 card indices shall be prepared and filed as follows:
- a. Offense Reports
 - (1) Alphabetically by name
 - (2) Classification of offense according to Uniform Crime Reporting standards
 - (3) Location by reporting area
 - (4) By serial number of stolen property
 - (5) By description of identifiable stolen property
 - b. Arrest Reports
 - Alphabetically by name
 - c. Accident Reports
 - (1) Alphabetically by name
 - (2) By location of occurrence

4. Maintenance of Files

As investigation progresses on a particular offense, its status may change, i. e., it may be cleared, declared unfounded, or cancelled. Certain remarks must be reflected on the case file report and cross-references. The notice of change in status is normally received in this section in the form of a Supplemental Report. Updating of files will be accomplished in the following manner.

a. When an offense is cleared by arrest

- (1) Stamp alphabetical card "cleared by arrest. "
- (2) Stamp case file copy "cleared by arrest. "
- (3) Stamp crime classification card "cleared by arrest, " name and arrest number of person arrested, and date cleared. Move card to cleared section.
- (4) If stolen property is recovered, remove index card, stamp "recovered, " enter date of recovery, and file card in recovered section.

b. When an offense is cleared exceptionally, stamp all indices and case file "cleared" "no arrest. " Do not change stolen property indices unless property is recovered.

c. When an offense is unfounded

- (1) Stamp alphabetical index "unfounded. "
- (2) Stamp crime classification index "unfounded" and file in "cleared" section.
- (3) Remove crime location index and destroy.
- (4) Remove any stolen property index cards and destroy.

d. When a missing person is returned

On return of missing persons or cancellation, stamp alphabetical index "cancelled."

e. When a "wanted" is arrested, apprehended, or cancelled

On the arrest, apprehension, or cancellation, remove wanted index and destroy.

f. When stolen auto or property reported stolen is recovered

(1) Remove stolen property card, stamp it "recovered" and date recovered.

(2) Move card to recovered section.

g. When final disposition is made on arrests

When a final disposition has been determined:

(1) Indicate final disposition on master alphabetical index.

(2) Remove and destroy the Arrest Report filed by arrest number and replace with copy noting final disposition.

Hot Desk

The "Hot Desk" unit of the central records center will be responsible for the following:

1. Maintain the master arrest number control register and, upon request, issue an arrest number and record the name and other pertinent information opposite the number assigned for an individual's arrest.

2. Furnish, upon request by radio, telephone, teletype, or otherwise, information regarding wanteds, stolen property, case file numbers, or other information on file at the central records center.
3. Furnish, by direct line to dispatchers in the communications center, information requested by patrol or other officers as to: persons wanted, identification of stolen property by description and/or by serial number, stolen autos, or other such information as contained in the central records center.
4. Through an intercommunicator within the central records center, furnish case file numbers, wanteds, and stolen property information as requested by clerks servicing the police or public information center.

Data Processing Unit

1. The data processing unit will be responsible for storing, processing, and furnishing accurate statistical data to the department. The unit will code from reports all necessary data in machine record card form. (If the department has access to a computer, possible direct entry into "data base form" as obtained should be considered via keyboard input and display screen. In this event, reproduction of reports required by the various operational units of the department may be achieved through printout units at outlying terminals.)
2. The data processing unit will provide other management information as may be obtained from Complaint Control Cards, Administrative Control Cards, and personnel and other management records as otherwise directed.
3. Data processing applications should include:
 - a. Administrative and managerial reporting
 - b. Operational and tactical reporting
 - c. Data analysis reports

Section 2 - Items Common to Most Reports

General Instructions for Completing Item Boxes

Supply of Report Forms

At the beginning of each tour, members of the department going on duty are required to check to insure that they have an adequate supply of report forms in their possession.

General instructions for completing item boxes are presented herein for all report forms. The basic rule in reporting is that all boxes must be completed, if possible. However, there are instances where boxes by their very nature do not apply to the particular case being reported. Under these circumstances it is impossible to fill in the boxes and they should be marked "N/A" to indicate the box was considered but was "not applicable."

Except in those instances where the nature of the report or circumstances clearly indicate otherwise, all boxes must be completed with either the information or one of the following terms: (1) None, (2) N/A, (3) Refused, or (4) Unknown. In cases where the word "unknown" is entered, the reason should be explained in the body of the report.

If any box provides inadequate space in a particular case, note in the box the words "see below" and record or continue the details under the "narrative" (inserting the number of the box continued under "item no." in the left column of the narrative).

Legibility

The reports illustrated herein are to be prepared with a black ink ballpoint pen and, without exception, are to be completely legible. The report should be handprinted. Illegible reports must be corrected before the reporting officer ceases duty for the day. A special pen or cartridge is required for completing handwritten masters.

Complaint Number

If the complaint number is available to the officer, it should be inserted. (The number can be obtained from the communications center.) If unknown to officers conducting preliminary investigations, the space should be left blank and will be completed by the reviewer.

Names

All proper names, including names of businesses, must be spelled out in full. In recording proper names, the last name is listed first, followed by the first name and middle name. The last name is to be printed in CAPITAL letters.

Addresses

The apartment, suite, or room number is an integral part of an address. Military personnel must be identified by unit number and the name of the ship, station, or military installation. Indicate each address by street number, and where no street number is available, use the distance and direction from a known geographical location. Addresses recorded in the blocks provided should represent the permanent residence address. If the individual is temporarily staying in the city, this temporary address should be indicated under the narrative section of the report if sufficient space is not found in the block for address. For example, an address might be recorded as "857 Park Street, Atlanta, Georgia, temporarily at Hilton Hotel."

Telephone

Include extension number when applicable. Show the abbreviation for the exchange, for example, for Prospect 2-4747, extension 258, write "PR 2-4747/258." For numbers where the exchange prefix has been converted to numbers, the entry might be "772-4747/258."

Dates

The number of the day followed by the first three letters of the month and last two digits of the year is the approved order of recording the date. For example, "14 Apr 72." Where a span of dates may be indicated, use a dash between first and last date. For example, "10-14 Apr 72."

Time

Each indication of time must clearly state "am" or "pm." Indicate spread of time by a dash between the first and last known times. For example: "5:30 am - 6:15 am."

Witnesses

Obtain as complete information as possible keeping in mind the instructions above as to names and addresses. Record sex, race, and age using standard abbreviations. This general descriptive information as to witnesses is often pertinent when it is later necessary to locate a witness for interview or to testify in court. If the space is inadequate, record the information as to additional witnesses in the narrative.

Beat and District

This is the beat and district number where the incident occurred. This may be different from the beat and district where the reporting officer is assigned for duty. The space above and following the block for entering the beat and district numbers is for the reporting area to be completed by headquarters for office use in further coding.

Sex, Race, and Age

The sex, race, and age of suspects and witnesses should be obtained as accurately as this can be accomplished through observation, interview, or by questioning persons who might be able to provide this information. With reference to victims, this information should be obtained tactfully, by interview, or if refused, by observation. In recording these data, the following standard abbreviations will be used:

Sex: Male - M
 Female - F

Race: White - W
 Negro - N
 Mexican - Mex
 Chinese, Japanese or other Oriental - O
 Puerto Rican - PR
 American Indian - Ind
 Other Races - Oth

Age: This is the age of the individual on his last birthday. A spread of years may be used when age must be estimated. For example, 25-30. Show the date of birth when this can be obtained.

Occupations

A number of the report forms provide for recording the occupation of individuals. Record the general line of work by means of which the person ordinarily earns his livelihood. For example, a bricklayer, even if currently unemployed, would be shown as "bricklayer." An officer in a bank would be shown as a "banker," while a bookkeeper in a bank would be shown as "bookkeeper." If the individual is unemployed by reason of retirement, the word "retired" would be indicated. In cases of unemployed married women, the entry would normally be "housewife."

Value

Indicate the total fair market value for articles subject to depreciation. Use cost to merchant (wholesale price) in thefts from retail stores, warehouses, etc. In case of stolen vehicles, headquarters should enter from current Blue Book based on make, model, year, etc. Concerning checks, securities, and nonnegotiable instruments, the value is the cost of the paper only (usually five or ten cents per item). The face amount, or dollars and cents sum for which drawn, is indicated in the narrative.

Signatures

An investigating officer completing a report should sign it and indicate his number in the space provided. If the report is a joint investigation by two or more officers, both or all should sign. If, in answering a complaint, a second car is assigned and a third or fourth officer conducts some investigation pertinent to the case, the first car dispatched should assume responsibility for obtaining the pertinent information from other officers and executing the required report. Officers assisting in the backup will prepare a Supplemental Report to show this activity.

Descriptions

Persons

For the purpose of report-writing, it is essential that the description of any person who is the subject of police attention be detailed and complete. Emergency descriptions identifying a fleeing suspect obtained for immediate broadcast should be supplemented by further questioning of complainant or witnesses before the officer submits his report. In addition to NAME, NICKNAME, AND ADDRESS, the description must, if possible, include:

SEX: M or F

RACE: Use common abbreviations, such as W, N, PR, Mex, Oth.

AGE: A span of ages may be used if the exact age is unknown, such as 25-30. Use the exact date of birth if known.

HEIGHT: Obtain by comparison with yourself or others present. Sample entry: 5'11".

WEIGHT: Obtain by comparison with yourself or others present. Sample entry: 185 lbs.

BUILD: Use explanatory terms, such as slim, husky, etc.

HAIR: Include here the type, such as straight, curly, kinky, etc. Include the condition of baldness, such as frontal, total, crown. Note the type of haircut and possibility of a wig. Give color.

EYES: Describe shape and color. Note suspect's use of glasses.

COMPLEXION: Use positive terms, such as light, brn, olive, ruddy, etc.

BEARD AND MUSTACHE: If clean shaven, so state. If not, describe beard and/or mustache.

PHYSICAL: What is unusual about suspect. For example, amputations, nervous tic, peculiar mannerisms or movement, gold teeth, prominent scars, deformities, speech oddities, tattoos, etc.

CLOTHING: Head to foot: describe hat, shirt, tie, coat, trousers, socks, and shoes.

Clothing Worn by Suspect

Clothing of the suspect should always be described in order, from hat to shoes. In addition to identifying the articles by name, such as "hat, coat, dress, slacks," be sure to include:

- STYLE: Single-breasted sport coat, fingertip mink stole, etc.
Include hat style and color.
- COLOR: Brown and white tweed, dark green satin, flowered print,
red on green, etc.
- IDENTIFIABLE
DEFECTS: Ripped left sleeve, grease spot on back, etc.
- JEWELRY: Lodge pins, emblems, rings, bracelets, necklaces, etc.

Clothing - Generally

Give name of article to be described. In describing men's, women's, children's, or infants' clothing, always indicate size, color, maker's label, laundry or cleaner's marks, and kinds of materials.

Men's Suits. State whether double- or single-breasted; number of buttons; two or three piece (coat, vest, and pants; or coat and two pair of pants); evening, street, or sport; kind of lining, if any; plain or pleated trousers, if known, etc.

Men's Coats. State whether overcoat, short jacket, raincoat; single- or double-breasted; type of trimming, lining; if belted.

Men's Miscellaneous Clothing. Include shorts, shirts, socks, sweaters, ties, shoes, scarves, pajamas, dressing gowns, etc. Describe completely.

Women's Dresses. State whether evening, street, house or suit; kind of trimming, if any (such as fur, lace, metallic, contrasting or self trim); one or two piece style.

Women's Coats. State whether full length or short; princess, box, or swagger type; evening, sport or dress; full description of trimming, buttons, etc.; color and kind of lining. Give complete and full description of fur coats, kind of fur, lining, etc.

Women's Miscellaneous Clothing. Include lingerie, underwear, pajamas, stockings, shoes, socks, sweaters, scarves, shawls, waists, skirts, kimonos, house-coats, play-suits, slacks, etc.

Children's and Infants' Clothing. Follow general descriptions as given for men's and women's clothing.

Jewelry

After giving the name of the article to be described, include the following when it is part of the description:

Color(s) and kind(s) of metal(s)

Number, kind, color, and size of stones

Type of mounting—filigree, plain, engraved, etc.

Type of setting—basket, tiffany, sunken, box, etc.

Inscriptions

Rings. State kind of metal; kind, size, and number of stones (diamond, ruby, etc.); whether plain, engraved or filigree; and any jeweler's marks, inscriptions or initials.

Watches. State make (Elgin, Hamilton, Waltham, etc.); movement, case, and jewel numbers; size of watch; type of case (open faced or hunting); number of adjustments, if known; whether plain or engraved or set with stones. If it has chain or wrist-band attached, give color, material, length, etc.

Necklaces. State length; whether 1, 2, 3, 4, 5, or 6 strand; matched or graduated stones or beads; strung on thread or chain (give kind and color); describe clasp.

Pendants. State size and shape; whether strung on chain, ribbon, cord, or thread; give color and type; describe clasp.

Brooches and Bar Pins. State size and shape; whether plain, engraved, or filigree; whether pin has safety clasp attached.

Stickpins. State size and shape; kind of stones; whether safety clasp attached.

Bracelets. State width; whether link filigree, solid, flexible, or half-clasp type; plain, engraved, stone set; safety chain attached and type of clasp.

Earrings. State style and length; whether screw, clasp, or pierce type; describe stones, color, etc.

Emblems, Charms, Lodge Pins, etc. State size and shape; name of lodge, fraternity, or club (Masonic, Elks, Eagles, Phi Beta Kappa, Sigma Chi, nurses or military service pins, American Legion, etc.).

Buckles and Other miscellaneous Articles of Jewelry. State size, color, shape, stones, etc.

Note. If any of the above are matched sets (ring, pin, necklace, earrings, bracelet, etc.), so state. State whether costume, antique, or modern-type jewelry.

Caution. When officers are personally describing items of recovered jewelry in property reports, indicate colors rather than materials. Example: "Brooch, yellow colored metal, red and white stones" NOT "Gold pin with rubies and diamonds."

Household Articles

Give the name of the article being described.

Rugs. State size; color or combination of colors; plain or design; whether domestic or oriental; type (Axminster, Wilton, Broadloom, etc.); give maker's name when known; whether fringed or bordered; cleaner's marks; all other marks, such as stains, tears, mends, etc.

Bedding. Includes sheets, pillowcases, blankets, spreads, quilts, comforters, mattress covers, etc. State what article is, then give a complete description of size, color, material, cleaner or laundry marks, and monograms, if any.

Dishes and Glassware. State whether complete sets, giving pattern and number of pieces (both china and glass); whether porcelain, pottery, cut glass, blown glass, or ordinary china or glass. Give maker's label or mark, monograms, or other marks.

Silverware. Includes flatware (table silver, knives, forks, spoons, etc.) as well as hollow ware (coffee, tea, and chocolate sets, and complete silver services). Give maker's label; kind of silver (sterling, plated, or pewter); owner's initials or other inscriptions; type of pattern; and number of pieces to set.

Clocks. State kind, color, size, movement, and case numbers, if known; whether china, porcelain, bronze, iron, wood, plastic, glass, leather, etc. State whether mantel, kitchen, boudoir, grandfather, traveling, etc.; give maker's label; whether 8-day type; and if chime clock, kind of chimes (Westminster, etc.).

Furniture. State what article is; give complete description, stating kind of wood or metal, color, kind of material covering, and trimming. In cases of matched sets, such as bedroom, dining, or living room furniture, give number of pieces in set and state number of pieces stolen.

Pianos, Radios, and Televisions. Pianos—state maker's label and serial number, if any; state if upright, baby grand, spinet, etc. Radios and televisions—show maker's label; serial number; number of tubes; whether console, table model, midget, transceiver, portable; low- or high-boy type; size of screen, etc. Give kind of wood or metal; show color and kind of trim, if any.

Lamps. State kind, i. e., floor, bridge, table, or boudoir; give kind of wood or metal; number of globes; whether reflector type; if it has a base light, kind, color, and size of shade. In case of table and boudoir lamps, state whether statuary, glass, china, pottery, or metal base.

Miscellaneous. Includes ornaments, pictures, statues, bric-a-brac. Describe in detail, stating particularly any labels, serial numbers, or other identifying marks.

Other Property

Give name of article to be described.

Firearms. State maker's name; caliber or gauge; color of metal; serial numbers; type of handles or stocks; any marks, inscriptions, or initials. State whether revolver, automatic, pistol, pumpgun, rifle, or shotgun.

Tires. State size; maker's name; color; tread; and serial numbers, if available; whether mounted on rim with wheel and tube or alone.

Drugs. State amount, kind, manufacturer, container size, valuation, and any other descriptions available.

Cash Registers, Adding Machines, Typewriters, Bookkeeping Machines, Calculators, Check Protectors and Other Office Machines. State maker's name; size; model and serial numbers; color, etc. Also, any other marks, labels, or inscriptions.

Cameras and Equipment - Projectors and Cases. State maker's name; model number; serial number; lens numbers and names; shutter numbers; type of camera (movie, Cine, Graphlex, box, folding, etc.); kind of material (wood, metal, or leather) of both camera, projector, and case.

Electrical Equipment. Includes toasters, irons, curling irons, bulbs, sockets, generators, motors, waffle irons, percolators, portable water heaters, bottle warmers, refrigerators, etc. State maker's name, kind of material, color, size, model and serial numbers, wattage, voltage, and any initials or other marks or inscriptions.

Building Equipment. Includes lath, wire, plaster, bricks, stucco, glass, marble, lumber, roofing material, paint, nails, cement, etc. Give size, color, maker's name, number or amount of articles lost or stolen, as well as any lot or serial numbers available.

Optical Goods. Includes spectacles and cases, opera glasses, binoculars, telescopes and cases, etc. State maker's name; color; material of article, as well as case; serial and model numbers (power number or size in case of binoculars, telescopes, etc.); initials; or other marks of identification.

Books. State name of book; author; publisher's name, if known; color and kind of material of binding; approximate size of book; as well as any writer's inscriptions, such as owner's name, book-plates, or author's signature (first editions).

Doctors' and Dentists' Instruments. Includes stethoscopes, blood-testing apparatus, hypo-needle outfits, etc. State maker's name, size, serial numbers, model numbers, material, color, and marks of identification. Also show case size and color.

Musical Instruments. Includes banjos, saxophones, guitars, trombones, trumpets, violins, clarinets, piccolos, flutes, etc. State maker's name, color, material, number, or other marks of identification. Also, describe carrying cases.

Knives (other than table). Includes hunting, pocket, butcher, etc. State color, kind of material of handles, numbers, maker's name, inscriptions, etc.; describe carrying case, if any.

Pens and Pencils. Includes fountain pens, pen and pencil desk sets, etc. Give maker's name, color, size, whether mens' or womens', numbers, initials, or other marks of identification.

Smoking Material. Includes pipes, tobacco, cigarettes, cigars, lighters, cases, etc. State color and size of pipes, amount of tobacco, number of cigars or cigarettes (box or package or humidor jar), maker's name, etc.

Sewing Machines. State maker's name; brand name; serial number of both machine and motor (if electric); whether wood or metal; table, desk, or portable type (or old fashioned treadle type); and any other marks or inscriptions.

Sporting Goods. Includes fishing poles, tackle, lines, tents, awnings, skis, snow shoes, toboggans, etc. State maker's name, numbers, color, kind of material, initials, or other inscriptions.

Groceries. State kind of article, brand label, number of each lost or stolen, and any other general description available.

Toilet Articles and Cosmetics. Includes brushes, combs, mirrors, perfume bottles, manicure sets, powder, perfume, cold cream, shampoo, toothpaste, lipstick, hair oil, soap, etc. State size, color, material, maker's or brand name, initials, numbers, or other marks of identification.

Tools. Includes carpenter, plumbing, electrician, machinist, mechanic, etc. State kind of tool, serial number, maker or brand name, initials or other marks of identification, number of tools lost or stolen, and size.

Animals, Birds, and Fish. Includes dogs, cats, horses, pigs, cows, poultry, birds, goldfish, etc. State kind of animal, bird, or fish; size; color; name; age; license number, if any; and other description available.

Automobile Supplies and Equipment (other than tires). Includes spotlights, wheels, tubes, carburetors, spark plugs, bumpers, etc. State size, color, maker's name, serial numbers, number of articles, and other marks of identification.

Leather Goods. Includes trunks, suitcases, purses, briefcases, sample cases, belts, suspenders, Gladstone and Boston bags, saddles, billfolds, etc. State size, color, maker's name, serial numbers, initials, or other marks of identification.

Bicycles. State name; size, color; kind of seat, brake, tires; baskets; horns; lights; serial number; license number, if known; initials and other identifying marks.

Important. On all articles listed, no matter what they may be, always show the maker's or brand name, serial and model numbers, size and color, and valuation. Show any initials or other marks of identification which may have been added after purchase of articles. If owner is not sure of valuation, give approximate valuation in line with department policy regarding value of property lost or stolen.

Vehicles

All reports requiring a vehicle description shall be recorded in accordance with the "CYMBALI" Automobile Description Code.

Color List colors from top to bottom or from front to back—"black over grey." If the vehicle is in three colors, insert the colors in descending order—"white over green over black." Suggested colors and their designations are listed as follows:

Beige	BGE	Gold	GLD	Pink	PNK
Black	BLK	Green	GRN	Purple	PLE
Blue	BLU	Light Green	LGR	Red	RED
Light Blue	LBL	Dark Green	DGR	Silver	SIL
Dark Blue	DBL	Grey	GRY	Tan	TAN
Bronze	BRZ	Lavender	LAV	Turquoise	TRQ
Brown	BRO	Maroon	MAR	White	WHI
Cream	CRM	Orange	ONG	Yellow	YEL

- Year Year of manufacture. For this purpose a vehicle is described by using the last two digits — "69 Oldsmobile."
- Make Record the primary factory name of the vehicle.
- Body Style When giving the body style state whether the vehicle is a "two-door" or "four-door" and use "convertible" or "station wagon" when appropriate. Manufacturer's trade names should also be given as these often indicate distinctive shapes and silhouettes.
- And
- License Record the state of registration of the license number, the year of issue, and the license plate number. (When pertinent, the type of plate should be listed — "dealer," "truck," "trailer," "taxi," etc.)
- Identification/
Motor Number Indicate the identification number of the vehicle. In the event the automobile has no identification number, include the motor number.

Standard Description Procedures and Phonetic Alphabet

Descriptions of persons or vehicles should be obtained, recorded, and transmitted in the order shown on the following page.

STANDARD DESCRIPTIONS OF PERSONS

ALWAYS OBTAIN IN THIS ORDER
OMIT ANY ITEM YOU DO NOT HAVE

START

1. NAME
2. SEX
3. RACE
4. AGE
5. HEIGHT
6. WEIGHT
7. HAIR
8. EYES
9. COMPLEXION
10. PHYSICAL
MARKS, SCARS,
LIMP, ETC



JOHN DOE

FINISH

- II. CLOTHING
HEAD TO FOOT
- A. HAT
- B. SHIRT OR TIE
- C. COAT
- D. TROUSERS
- E. SOCKS
- F. SHOES

PHONETIC ALPHABET

A — Adam	N — Nora
B — Boy	O — Ocean
C — Charles	P — Paul
D — David	Q — Queen
E — Edward	R — Robert
F — Frank	S — Sam
G — George	T — Tom
H — Henry	U — Union
I — Ida	V — Victor
J — John	W — William
K — King	X — X-ray
L — Lincoln	Y — Young
M — Mary	Z — Zebra

VEHICLE DESCRIPTION

“CYMBALI”

Color

Year of Manufacture

Make

Body Style

And

License

Identification/Motor Number

Section 3 - Report Forms and General Preparation Instructions

Police officers responding to complaints or other incidents which are brought to the attention of the department will use one or more of the following forms to make written records of the matters:

- Offense Report and Multi-Purpose Report Form
- Arrest Report
- Supplemental Report
- Vehicle Report
- Property Record
- Prosecution Report

The use of each of these forms is explained in subsequent paragraphs of this section.

Complaint Control Cards are required to be completed on all incidents, complaints, or requests for police service which come to the attention of the department by telephone, on-view, or otherwise.

For the most part, initial or preliminary investigations of offenses or incidents will be reported in written form on the Offense Report (multipurpose). However, as an exception to the written report, the action taken in the many and various noncriminal complaints which comprise such a large volume of the workload may be reported under the Miscellaneous Incident Reporting System on the Complaint Control Cards. These include noisy radios, boys playing ball in the streets, barking dogs, and other minor matters where there is no injury or no property damage, and where no additional follow-up action is required (closed cases only). (See Section 4 for details on MIR — Miscellaneous Incident Reporting.)

Offense/Classification and Selection of Report Form

1. Use of table of offenses and incidents and related reports
 - a. Consult the table of offenses and incidents and related reports (Section 5) to determine the offense or incident that has occurred and the proper method of reporting.

- b. Locate the offense or incident alphabetically in the "incident" column.
2. Incidents involving more than one offense or victim, occurring at the same time
- a. Determine and use the classification for the most serious offense committed, using the following Uniform Crime Reporting classifications:
- Criminal homicide
 - Forcible rape
 - Robbery
 - Assault (serious)
 - Burglary
 - Larceny - theft
 - Auto theft (theft of vehicle)
- b. Include the details of all other offenses in the narrative. Example: Two men break into a warehouse (burglary) and, while loading merchandise on a truck belonging to the warehouse, they are surprised by the night watchman. They knock the watchman unconscious with a blunt instrument (robbery and assault). The men drive away in the stolen truck (vehicle theft) with the merchandise (theft).
- The offenses of burglary, robbery, assault, theft, and vehicle theft are involved in this incident. Since the offenses occurred at the same time and the robbery classification appears first in the UCR listing before the other offenses involved, the incident would be reported as an armed robbery. The details of the other offenses would be included in the narrative.
- c. Under ordinary circumstances, when a single incident involves more than one victim at the same time, complete only one report regardless of the number of victims. Enter the number of victims in the space provided on the report and identify each and furnish details in the narrative. In case of a major disaster involving assistance of other officers, all assisting officers will each complete a Supplemental Report.

3. Incidents involving more than one offense, occurring at different times—same offender

- a. When incidents do not occur at the same time, even though they were perpetrated by the same offender, complete a report for each incident.

Examples:

- An automobile is stolen and a short time later is used as a getaway car in an armed robbery. Since two separate offenses occurred at different times (two distinct operations), a vehicle theft case report and a robbery case report would be completed.
- Burglaries of separate units of an apartment, residence, office, or other building whose clientele is of a permanent nature require a separate report for each unit which is individually owned, leased, or rented.
- When thefts occur from several cars parked on the public way in the same block during the night, one report is required for each car entered.

Exceptions:

- Hotel rule

Burglaries of more than one unit in a hotel, rooming house, motel, or other similar building where lodging transients is the main business require only one report regardless of the number of units involved in one incident.

- Multiple thefts

Thefts from several vehicles parked in an off-street private or public pay lot require only one report regardless of the number of vehicles involved. (One report is used even if several articles belonging to different persons are stolen at the same time from one place.)

4. Changing the classification

- a. When a citizen reports a specific crime to the communications center, the officer assigned to investigate has no authority to report it as a miscellaneous incident. If it appears that the crime is unfounded, follow the instructions for unfounded incidents.
- b. If a citizen reports an incident as a miscellaneous incident, and, upon investigation, the incident is found to be a crime or, if upon investigation, a reported crime should be classified as another crime (e. g., reported as a robbery but actually was a burglary):
 - Prepare the appropriate case report covering the actual crime committed
 - Note the original complaint at the beginning of the narrative section
 - Notify the dispatcher of the change in classification

5. Reclassification

Reclassification of the offense after the preliminary investigation has been conducted and the case report has been submitted is the responsibility of the Investigations Division. This is accomplished by inserting the proper offense/classification on the Supplemental Report and including a statement of justification for the classification as the final entry in the narrative.

Reporting Attempts

Report all attempts to commit an offense.

Unfounded Incidents

1. The final decision as to whether an incident is actually unfounded is the responsibility of the Investigations Division.

2. Whenever the preliminary investigation of an incident which requires a case report indicates it to be unfounded or not verified:
 - a. Report the incident on the Offense Report form which covers types of crime or incident as given by the dispatcher.
 - b. Enter the crime reported. Do not use "unfounded" as a crime classification.
 - c. Complete all entries pertinent to identifying the incident and the person reporting the crime.
 - d. State at the beginning of the narrative section of the report that the crime or incident is unfounded.
 - e. Explain your reason for unfounding the incident and record sufficient facts in the narrative to enable the Investigations Division to determine without question whether the case should be treated as an unfounded incident.

3. Whenever you are uncertain as to the authenticity of the crime or incident after conducting the preliminary investigation:
 - a. Report it as an actual crime.
 - b. State only the facts in the narrative and omit any conclusions.

Preparation of the Offense Report

Purpose of Report

The Offense Report (multipurpose) is designed to record an officer's initial investigation of an offense or an incident of criminal nature. It serves as a checklist for the officer in gathering all pertinent information and assembling proof of the elements of an offense to be charged. It provides information to the department and assists the prosecutor in preparing the prosecution case as well as permitting him to anticipate probable defense of the defendant. It assists the officer in refreshing his memory of the facts of a case prior to trial. The Offense Report also assists the officer's supervisor in evaluating the officer's performance.

When to Prepare the Offense Report

With the exception of miscellaneous services and minor incidents which are authorized under the MIR program to be reported verbally by code on the Complaint Control Card as a completed report, all other offenses and incidents must additionally be recorded in written form on an Offense Report (multipurpose) or a Vehicle Report (stolen auto).

Offense Report Preparation Instructions

(Items 1 through 16 are grouped in the upper right-hand corner so that these entries can be reproduced as a permanent name index card.)

1. Victim's Name - Print the last name, first name, and middle name of the victim or missing person. After the middle name indicate "Mrs. " or "Miss" for females, and if military personnel are involved, include rank and serial number. If the victim is a business, insert here the complete firm name (reporting person's name will be listed in Item 9).
2. Complaint Number - Insert complaint number received by radio or telephone form the communications center.
3. Victim's Address - Record the complete street address, including building, room, or apartment number. Include the name of the city if outside.
4. Residence Phone - Residence phone of victim.

5. Victim's Place of Employment of School - Name of company, business, etc. where victim is employed or name of school which victim attends. Include name of city if outside.
6. Business Phone - Business phone number, including extension, at victim's place of employment or school.
7. Victim's Sex, Race, Age - Indicate by using standard symbols, example—WM 20—where possible also include in parenthesis victim's date of birth.
8. Location of Offense - Indicate the exact address or location where the actual crime occurred. This may be different in some cases from the victim's address; however, this may often include the name of the business and the address. If location cannot be identified by an address, show the distance and direction from a known point.
9. Reporting Person's Name - Indicate name of person reporting the offense if other than victim. If victim reports offense, indicate "same as above."
10. Residence Phone - Indicate home phone of reporting person.
11. Reporting Person's Address - Indicate residence address of reportee. If victim is reporting offense and residence address is the same, simple indicate "same."
12. Business Phone - Indicate business phone of reporting person. Include extension.
13. Date and Time Occurred - If known, so indicate. If unknown, estimate as accurately as can be determined. Use a range if necessary: 5:30 am to 8:30 am.
14. Date and Time Reported - Indicate the date and time the police were notified of the incident or the time that the reporting officer makes the initial report.
15. Crime or Incident - Record here the general category of the offense. In parentheses in same block indicate any subcategory which might assist in a more specific classification. A few examples of crime categories and possible subclasses are provided below:

- Homicide (Murder)
(Manslaughter)
- Rape (Forcible)
(Statutory)
- Assault (Aggravated)
(Simple)
- Robbery (Armed)
(Strongarm)
- Burglary (Dwelling House)
(Commercial)
- Larceny (Shoplifting)
(Auto Accessories)
(From Auto)
(Bicycle)
- Missing Person (Infant)
(Juvenile)
(Adult)
(Adult with Disability)
(Runaway Juvenile)

Note: Auto theft is reported on Vehicle Report.

16. Classification - Reporting officer should leave item blank. Report-review officer assigned to central records should classify the report in accordance with the provisions of the FBI Uniform Crime Reporting Program (as explained in the Uniform Crime Reporting Handbook published by the FBI). He should then insert the proper Part I or Part II offense here. In noncriminal matters, an appropriate brief and uniform description of incidents will assist in summarizing department activities.
17. Unit - Indicate unit handling
18. Beat - Indicate the beat or post of the location of occurrence. (Not necessarily the assigned beat of the reporting officer.)
19. District - Enter the initials of the district where the incident occurred (not necessarily the same as the home district of the reporting officer).

20. Reporting Area - To be completed by report-review officer.
21. Watch - Enter the watch or shift being worked when offense or incident occurred.
22. Dispatched As - Enter nature of call given to you by the dispatcher.
23. Dispatch Acknowledged - Enter time when dispatch was received.
24. Address Dispatched To - Enter the original address dispatched to.
25. Returned to Service - Enter time you returned to service.
26. Describe Location—Type Premises - Include here open field, restaurant, private home, school, retail store, etc. Do not indicate address here. (This is reported in Box 8 where applicable.)
27. Victim's Occupation - Indicate the occupation of the complainant or the victim such as: electrician, attorney, laborer, truck driver, insurance salesman, etc.
28. Hours of Employment - Indicate usual hours of employment or school attendance to assist follow-up officers in contacting the complainant.
29. Sobriety - Indicate whether the complainant was sober (sbr); had been drinking (HBD); intoxicated (intox); or unknown (unk). Use narrative to explain further if necessary.
30. Requested - Indicate here those requests or notifications for assistance that are requested by the reporting officer at the scene, by radio or telephone, for criminal investigators, coroner, ambulance, or tow truck. (This is not for the purpose of requesting at a later date, but to record those requests for immediate service during the officer's preliminary investigation.) Also indicate requests for NCIC checks, radio APB's, teletypes, and other.
31. Witness-Parent-Guardian - Enter names of witness, parent, or guardian; age; best contact address; best phone; and other phone where person may be contacted.

32. Suspects - Enter name and address, sex, race, age, description, arrest number, vehicle colors, year-make-model, license-year-state-number. For identifying characteristics, use narrative Item 42 and/or Supplemental Report if additional space is needed.
33. Stolen Property - Enter quantity, description (size-color-model-style-material-condition), serial number, where located, value-new, age, value-now. If additional space is needed, use narrative Item 42 and or Supplemental Report.
34. Victim Taken To - Enter hospital or other place where injured person taken, if any.
35. Transported By - Enter ambulance company or other means used to transport injured person.
36. Describe Injuries - Describe the nature and location on the body where the victim was injured. For example, "gunshot wound of forehead," "stab wound of right upper arm," "acid burn of left thigh," etc.
37. Condition - Indicate victim's condition as determined from medical authorities or, if unavailable, officer's best estimate. Generally, this will include use of the terms: "good," "satisfactory," "fair," "serious," and "critical."
38. Missing Person - Enter description by height, weight, hair, eyes, complexion, hat, coat, jacket, sweater, blouse/shirt, skirt/trousers, shoes, jewelry.
39. Possible Cause of Absence - Enter reason for leaving and destination if known.
40. Competency: Physical and Mental - Describe as factually as possible.
41. Past Record, Other Data—Identification, Money Carried - Enter as much information as possible to aid in identification, establish MO, and judge distance missing person may have traveled.

42. Narrative - Use this space to expand or continue any of the items in the report where additional space is required. Insert number of item continued in the left column. This will include additional victims, witnesses, suspects, etc. Describe further details of the incident. Describe and indicate disposition of property and evidence including inventory numbers, summons numbers, etc. Include MO factors such as: force used, at what point, tool or weapon, and other acts or trademark. If complaint is unfounded, explain why. If additional space is required, use Supplemental Report to continue narrative.
43. Reporting Officer - The officer writing the report and making the preliminary investigation should print his name in the item box and enter his identification number. The second or accompanying officer should also place his name in the second officer item box.
44. Case Status - The reporting officer will recommend. However, final determination will be made by the reporting officer's supervisor and status entries will be made on the report at the time of his review. Status must be indicated for all cases, including noncriminal incidents. The case should be considered "open" or pending if any additional information is required (even though an arrest is actually made). Cases may be "closed" only when the entire matter is completed and no additional police action is required. Cases may be "suspended" by the supervisor when every reasonable avenue of investigation has been pursued and exhausted. Under such circumstances these cases should not be "closed." Although active work on the case is discontinued, additional information such as new evidence, arrest of a suspect on a subsequent case, etc., may be forthcoming and will cause the investigation to be pursued in the future.
- Case Disposition - Disposition of criminal cases may be indicated as appropriate. If the initial or preliminary investigation proves the complaint to be false, the report should be marked unfounded. Justification for this entry must be contained in the narrative portion of the report. The "cleared by arrest" and "cleared exceptional" blocks should be marked in accordance with the Uniform Crime Reporting Program as described in the FBI Uniform Crime Reporting Handbook.
45. Supervisor Approving - The immediate supervisor of the reporting officer should sign and indicate his identification number. By this action, the supervisor is indicating that he has reviewed the report and believes it has been correctly completed.

OFFENSE REPORT AND MULTI-PURPOSE REPORT FORM

20. REP. AREA		1. VICTIM'S NAME (LAST, FIRST, MIDDLE)		2. COMPLAINT NO.	
18. BEAT	19. DIST.	21. WATCH	3. VICTIM'S ADDRESS		4. RES. PHONE
DISPATCHED AS:		23. DISP. ACKN. A.M. P.M.	5. VICTIM'S PLACE OF EMPLOYMENT OR SCHOOL		6. BUS. PHONE
ADDRESS DISPATCHED TO		25. RET'D. SERV. A.M. P.M.	7. VICTIM'S SEX, RACE, AGE	8. LOCATION OF OFFENSE (ADDRESS)	
DESCRIBE LOCATION—TYPE PREMISES			9. REPORTING PERSON'S NAME		10. RES. PHONE
17. OCCUPAT.	20. HOURS OF EMPLOY	29. SOBRIETY	11. REPORTING PERSON'S ADDRESS		CITY
REQUESTED		13. DATE AND TIME OCCURRED		14. DATE AND TIME REPORTED	
REPORTER <input type="checkbox"/>	CRIM. INV. <input type="checkbox"/>	AMB <input type="checkbox"/>	15. CRIME OR INCIDENT		16. CLASSIFICATION
15. CHECK <input type="checkbox"/>	APB RADIO <input type="checkbox"/>	TOW <input type="checkbox"/>			
16. OTHER <input type="checkbox"/>	T. TYPE <input type="checkbox"/>				

31. NAME	AGE	BEST CONTACT ADDRESS	BEST PHONE	OTHER PHONE
1				
2				

32. NAME AND ADDRESS, SEX, RACE, AGE-DESCRIP.—ARR. NO.	32. NAME AND ADDRESS, SEX, RACE, AGE-DESCRIP.—ARR. NO.
1	2
3	VEH. COLOR(S) YEAR MAKE MODEL LIC.-YEAR-STATE-NO.

33. QTY.	DESCRIPTION—(SIZE-COLOR-MODEL-STYLE-MATERIAL-CONDITION)	SERIAL NO.	WHERE LOCATED	VALUE, NEW	AGE	VALUE NOW

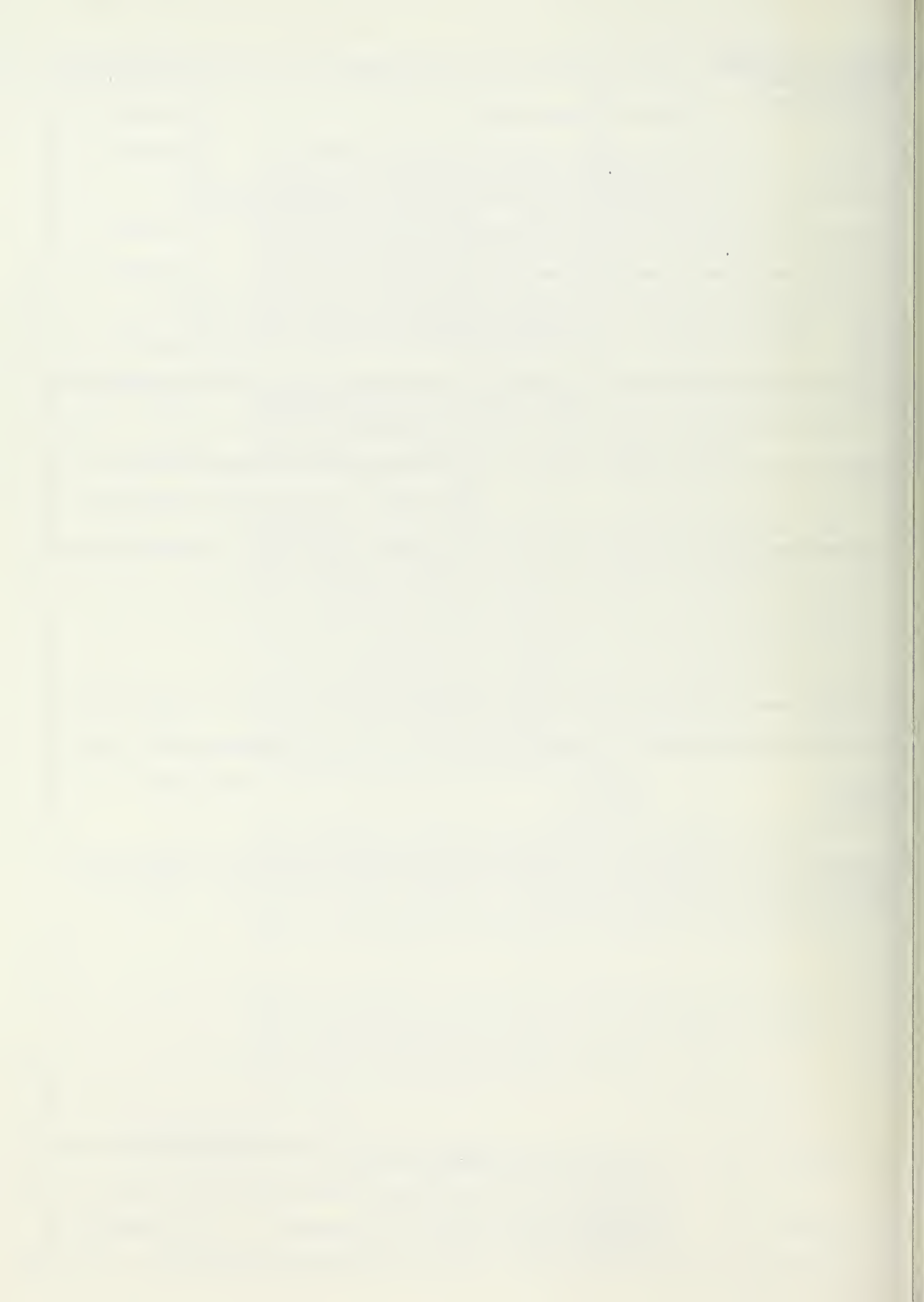
34. VICTIM TAKEN TO	35. TRANSPORTED BY	36. DESCRIBE INJURIES	37. CONDITION
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38. HT.	WT.	HAIR	EYES	COMP.	HAT	COAT	JACKET	SWEATER	BLOUSE/SHIRT	SKIRT/TROUSERS	SHOES	JEWELRY
39. POSSIBLE CAUSE OF ABSENCE		40. COMPETENCY: PHYSICAL		41. PAST RECORD, OTHER DATA-ID, MONEY CARRIED								
DESTINATION		MENTAL										

42. NARRATIVE: (1) CONTINUATION OF ABOVE ITEMS (INDICATE "ITEM NUMBER" CONTINUED AT LEFT.) INCLUDE ADDITIONAL VICTIMS, WITNESSES AND SUSPECTS AS OUTLINED ABOVE. (2) DESCRIBE DETAILS OF INCIDENT. (3) DESCRIBE EVIDENCE AND PROPERTY AND INDICATE DISPOSITION. (4) M.O. HOW DONE — FORCE USED — AT WHAT POINT — WITH WHAT TOOL OR WEAPON — OTHER ACTS OR TRADEMARK (5) IF COMPLAINT IS UNFOUNDED EXPLAIN WHY.

OFFICE USE ONLY			
REPORTING OFFICER NO.	44. CASE STATUS (STATUS <u>MUST</u> BE INDICATED FOR ALL CASES, INCLUDING NON-CRIMINAL INCIDENTS.)	46. DATE/TIME TYPED NO.	47. REPRODUCED BY NO.
OFFICER NO.	<input type="checkbox"/> OPEN (PENDING) <input type="checkbox"/> CLOSED <input type="checkbox"/> SUSPENDED	48. UNIT REFERRED TO:	49. UCR DISPOSITION
SUPERVISOR APPROVING NO.	CASE DISPOSITION (DISPOSITION OF CRIMINAL CASES MAY BE INDICATED AS APPROPRIATE)	50. REVIEWER NO.	PAGE NO.
	<input type="checkbox"/> UNFOUNDED		
	<input type="checkbox"/> CLEARED BY ARREST <input type="checkbox"/> CLEARED EXCEP.		

81. COMPLAINT NO.



(Items for office use only)

46. Date and Time Typed - If the report is typed, the typist should complete this item with the date and time typed. The employee reproducing the typed master should similarly indicate this information on the master itself.
47. Reproduced By - The initials and number of the employee reproducing the typed copy, if applicable.
48. Unit Referred To - This is used to refer the particular incident to the jurisdiction of a division or section for follow-up investigation and shall be filled out by the reviewing supervisor who will forward the appropriate copies and assignment slips to that office.
49. UCR Disposition - Here the reviewing officer should re-verify the appropriate classification in accordance with the provisions of the Uniform Crime Reporting Program as described in the FBI Uniform Crime Reporting Handbook. (Open; Cleared by Arrest; Exceptional Clearance; or Unfounded.)
50. Reviewer - The report-review officer assigned to central records should sign the central records file copy of the report and indicate his identification number (see complete explanation in standard operating procedures of the reviewer's duties).
51. Complaint Number - The report-review officer shall check the report's complaint number against the Complaint Control Card for correctness and enter the complaint number in the lower right-hand corner of the report, resulting in a double check system.

Preparation of the Arrest Report

Purpose of the Report

1. The Arrest Report is designed for officers to provide data in arrest cases as follows:
 - a. Exclusively in nonaccident custody cases where no unusual circumstances exist and under circumstances not involving a lengthy narrative.
 - b. For recording preliminary arrest data concerning persons arrested on all charges.
 - c. For arrests on authority of warrant, teletype, telegram, verified telephone requests, direct order of parole or probation officer (where such arrest is authorized).
 - d. Arrests for other authorities as an accommodation booking.
2. The Arrest Report is designed to provide the department with a permanent record of the arrest, charge, description, arresting and transporting officers, etc.

Arrest Report Preparation Instructions

1. Defendant's Name - Insert last, first, and middle name of person arrested.
2. Complaint Number - Insert central complaint number received from communications center.
3. Defendant's Address - Insert permanent residence of defendant.
4. Arrest Number - Insert central arrest number.

5. Description

Sex - Insert "F" for female; "M" for male.

Race - Insert race of arrested person.

D.O.B. - Insert date of birth. (Day, month, and year.)

Ht - Self-explanatory.

Wt - Self-explanatory.

Hair - Self-explanatory.

Eyes - Self-explanatory.

6. Identification Number - Central records will insert the identification number of the person arrested.

7. Alias or Nickname - Insert alias or nickname (if known).

8. Warrant Number - Insert warrant number if arrested on a warrant.

9. Place of Birth - Insert city and state where defendant was born.

10. Social Security Number - Insert social security number. Verify for accuracy.

11. Date Charged - Enter date defendant was charged.

12. Right Index Fingerprint - Obtain right index fingerprint as means of identification. If finger is missing or injured, obtain left index print and correct title of box to correctly indicate the print obtained.

13. Charge - State formal charge placed against defendant. If second charge, use two lines in space. If additional charges, continue in narrative section of report.

14. Judge - Trial Date - Make entries as obtained and appropriate.

15. Disposition - Entry for disposition, including fine and/or costs, to be inserted by records personnel.
16. Unit - Indicate unit handling.
17. Beat - Indicate the beat or post of the location of occurrence (not necessarily the assigned beat of the reporting officer).
18. District - Enter the initials of the district where the incident occurred (not necessarily the same as the assigned district of the reporting officer).
19. Reporting Area - To be completed by report-review officer.
20. Watch - Enter the watch or shift being worked when offense or incident occurred.
21. Location of Arrest - Add place of arrest including address, block number, or intersection names.
22. Type of Premises - Include here open field, restaurant, private home, school, retail store, etc.
23. Date/Time Arrested - Self-explanatory.
24. Sobriety - Indicate whether sober (sbr); had been drinking (HBD); intoxicated (intox) or unknown (unk).
25. Observed Drinking - Check yes or no.
26. Resist - Indicate whether arrested person resisted arrest.
27. Drugs - Check yes or no.
28. Armed - Check whether armed at time of arrest.
29. Weapon - Describe weapon if answer to above is "Yes."

30. Where Defendant Employed or School - Indicate name of company and address where employed or name of school.
31. Occupation - List occupation. If unemployed or retired indicate usual occupation and add word ("unemployed" or "retired").
- 32-33. Phones - Self-explanatory
34. Vehicle Involved - List vehicle information.
35. Operator's License No. - Self-explanatory.
36. Hold Place on Vehicle - Towed to - Self-explanatory.
37. Insert M. V. Inventory No. - Self-explanatory.
38. Names - List father's, mother's, guardian's, complainant's, and witnesses' names as appropriate.
39. Parent or Guardian Notified - Self-explanatory.
40. Narrative - Continue names of complainants, co-defendants, and/or witnesses. Where other report form is required and completed, write narrative only on that report.
41. Transporting Officers - List names and identification numbers of officers who transported the prisoner.
42. Arresting Officers - List names and identification numbers of officers who arrested the defendant.
43. Defendant's Money - List amount of money taken from prisoner and held safekeeping for owner.
44. Booking Officer - List name and identification number of officer who booked arrested person into confinement facility.
45. Searched by - List name and identification number of officer who searched prisoner when he was booked.

46. Date/Time Booked - List date and time arrested person was booked into confinement facility.
47. Supervisor Approving - The immediate supervisor of the arresting officers should sign the report and place his identification number in this block. By this action, the supervisor is indicating that he has reviewed the report and believes it has been correctly completed.
48. Court Number - List court docket number if known.
49. Notations Re Court - Bond - Disposition - Hold - List any special instructions regarding court, bond, disposition, or detainment of the prisoner.
- (Items for office use only)
50. Date and Time Typed - No. - If the report is typed, the typist should complete this item with the date and time typed. The employee re-producing the typed master should similarly indicate this information on the master itself.
51. Reproduced by - No. - The initials and number of the employee reproducing the typed copy, if applicable.
52. Unit Referred To - This is used to refer the particular incident to the jurisdiction of a division or section for follow-up investigation and shall be filled out by the reviewing supervisor who will forward the appropriate copies and assignment slips to that office.
53. UCR Disposition - Here the reviewing officer should re-verify the appropriate classification in accordance with the provisions of the Uniform Crime Reporting Program as described in the FBI Uniform Crime Reporting Handbook. (Open; Cleared by Arrest; Exceptional Clearance; or Unfounded.)
54. Reviewer - The report-review officer assigned to central records should sign the central records file copy of the report and indicate his identification number (see complete explanation in standard operating procedures of the reviewer's duties).
55. Complaint Number - The report-review officer shall check the report's complaint number against the Complaint Control Card for correctness and enter the complaint number in the lower right-hand corner of the report, resulting in a double check system.

IACP ARREST REPORT

19. REP. AREA		1. DEFENDANT'S NAME (LAST, FIRST, MIDDLE)				2. COMPLAINT NO.	
16. UNIT	17. BEAT	18. DIST.	20. WATCH	3. DEFENDANT'S ADDRESS			4. ARREST NO.
5. LOCATION OF ARREST (ADDRESS)				5. SEX	RACE	D.O.B.	HT.
				WT.	HAIR	EYES	6. IDENT. NO.
6. DESCRIBE TYPE PREMISES				7. ALIAS OR NICKNAME		8. WARRANT NO.	9. PLACE OF BIRTH
10. DATE AND TIME ARRESTED				10. SOCIAL SECURITY NO.		11. DATE CHARGED	12. RIGHT INDEX
13. OBRIETY		25. OBSERVED DRINKING		13. CHARGE			
		<input type="checkbox"/> YES <input type="checkbox"/> NO					
14. RESIST	27. DRUGS		28. ARMED	14. JUDGE		TRIAL DATE	FINE
YES <input type="checkbox"/> NO <input type="checkbox"/>	<input type="checkbox"/> YES <input type="checkbox"/> NO		<input type="checkbox"/> YES <input type="checkbox"/> NO				COST
15. WEAPON (DESCRIBE)				15. DISPOSITION			
16. WHERE DEFENDANT EMPLOYED OR SCHOOL			31. OCCUPATION			32. RES. PHONE	33. BUS. PHONE
17. VEHICLE INVOLVED		YEAR	MAKE	BODY	COLOR	35. DEF. OPERA. LIC. NO. — STATE	
18. LIC. NO.	STATE	YEAR	VEHICLE TOWED TO			37. MV INVENTORY NO.	
<input type="checkbox"/> YES <input type="checkbox"/> NO							
19. FATHER		ADDRESS		CITY		RES. PHONE	BUS. PHONE
20. MOTHER (MAIDEN)							
21. GUARDIAN OR NEXT OF KIN							
22. COMPLAINANT							
23. WITNESS							
24. NAME OF PARENT/GUARDIAN/NEXT OF KIN — NOTIFIED		DATE/TIME		OFFICER		NO.	
24. NARRATIVE: (1) IDENTIFY CO-DEFENDANTS BY NAME-SEX-RACE-AGE. (2) IDENTIFY ADDITIONAL WITNESSES (3) BRIEFLY INDICATE FACTS OF CASE							
25. TRANSPORTING OFFICER		NO.		42. ARRESTING OFFICER		NO.	
26. TRANSPORTING OFFICER		NO.		43. ARRESTING OFFICER		NO.	
27. BOOKING OFFICER		NO.		45. SEARCHED BY		NO.	
28. DATE/TIME BOOKED				47. SUPERVISOR APPROVING		NO.	
29. COURT NO.		49. NOTATIONS RE COURT - BOND - DISPOSITION - HOLD				54. REVIEWER NO.	
				50. DEFENDANT'S MONEY		PAGE NO.	
				OFFICE USE ONLY			
				50. DATE/TIME TYPED		51. REPRODUCED BY NO.	
				52. UNIT REFERRED TO:		53. UCR DISPOSITION	
				54. REVIEWER NO.		PAGE NO.	
				OF			

55. COMPLAINT NO.



Preparation of the Supplemental Report

Purpose of the Report

This report is intended to serve two purposes:

1. To record additional information when the narrative space is insufficient on the Offense, Traffic Accident, Arrest, or Vehicle Report forms.
2. To record information or action taken on a case subsequent to the submission of one of the above basic reports. The form may also be used by an officer to report additional information concerning a case previously investigated or to record the activities of follow-up or continuing investigations.

Supplemental Report Preparation Instructions

1. Evidence Number - Enter evidence number if one obtained.
2. Arrest, Citation, or Summons Number - Enter appropriate numbers utilized.
3. Complaint Number - Enter complaint number received by radio or telephone from the communications center.
4. Name of Complainant, Driver Number 1, Victim, or Arrestee - Print the last name, the first name, and the middle name of the person listed in Block 1 of the basic report being continued, or the corrected name of the victim or registered owner if a correction has been reported subsequent to the initial report. If this report is used as a continuation or supplement to an Arrest Report or a Traffic Accident Report, print the name of the arrested or cited person or driver number 1 from the basic report.
5. Date of This Report - Show date the Supplemental Report is made.
6. Date of Original Occurrence - Date initial report made.

7. Check this box if used as a continuation sheet for a report you are now completing.
8. Offense, Charge, or Incident on Original Report - Show the same offense or incident as reflected by the report being continued.
9. Check this box if report contains facts developed or reportable subsequent to previously submitted report(s).
10. Correct Offense or Incident Classification - Enter corrected offense and classification resulting from your investigation if changed from original report. If you are making a change from original report, check the box and explain such change in narrative.
11. Kind of Report Continued - Check box to show kind of report continued.
12. Multiple Clearance - Check to indicate whether this report will reflect clearance of other cases and list each by complaint number in the narrative if the answer is "yes."
13. As a continuation sheet, continue narrative. As a follow-up report, note the special instructions on the form.
14. Cash Value (Stolen) - Indicate the estimated total fair market value of all items taken or damaged when applicable. Use the replacement cost of items that are new or almost new; the cost of the merchandise (wholesale cost when goods are stolen from retail stores, warehouses, etc.); and the victim's estimate of jewelry, etc. which decreases little in value. When it is obvious that victim is exaggerating value for insurance or other purposes, officers should apply common sense in reporting the fair market value.
15. Cash Value (Recovered) - Indicate the fair market value of the property recovered during investigation using same criteria for the evaluation as contained in Item 14 above.
16. Reporting Officer - The officer writing the report should sign his name in this block and indicate his identification number. The second or accompanying officer should sign below.

17. Supervisor Approving - The immediate supervisor of the reporting officer should sign and indicate his identification number. By this action, the supervisor is indicating that he has reviewed the report and believes it has been correctly completed.
18. Case Status - The reporting officer will recommend. However, final determination will be made by the reporting officer's supervisor and status entries made on the report at the time of his review. Status must be indicated for all cases, including noncriminal incidents. The case should be considered "open" or pending if any additional information is required (even though an arrest is actually made). Cases may be "closed" only when the entire matter is completed and no additional police action is required. Cases may be "suspended" by the supervisor when every reasonable avenue of investigation has been pursued and exhausted. Under such circumstances these cases should not be "closed." Although active work on the case is discontinued, additional information such as new evidence, arrest of a suspect on a subsequent case, etc., may be forthcoming and will cause the investigation to be pursued in the future.

Case Disposition - Disposition of criminal cases may be indicated as appropriate. If the initial or preliminary investigation proves the complaint to be false, the report should be marked unfounded. Justification for this entry must be contained in the narrative portion of the report. The "cleared by arrest" and "cleared exceptional" blocks should be marked in accordance with the Uniform Crime Reporting Program as described in the FBI Uniform Crime Reporting Handbook.

(Items for Office Use Only)

19. Date/Time Typed - If the report is typed, the typist should complete this item with the date, time, and the typist's identification number. The employee reproducing the typed master should similarly indicate this information on the master itself.
20. Reproduced by - The initials and number of the employee reproducing the typed copy, if applicable.
21. Unit Referred To - Reviewer should indicate on the master copy the unit responsible for the follow-up investigation and forward the appropriate copies and assignment slips to that office. Usually felony follow-ups will be conducted by the criminal investigation unit, misdemeanors by the patrol unit, and traffic matters by the traffic unit.

22. UCR Disposition - Here the reviewing officer should indicate the appropriate classification disposition in accordance with the provisions of the Uniform Crime Reporting Program as described in the FBI Uniform Crime Reporting Handbook (Open; Cleared by Arrest or Exceptional Clearance; or Unfounded).
23. Reviewer - The report-review officer assigned to central records should sign the central records file copy of the report and indicate his identification number (see complete explanation in standard operating procedures of the reviewer's duties).
24. Complaint Number - The report-review officer should check the report's complaint number against the Complaint Control Card for correctness and enter the complaint number in the lower right-hand corner of the report, resulting in a double check system.

SUPPLEMENTAL REPORT

1. EVIDENCE NUMBER	2. ARREST, CITATION, OR SUMMONS NO.	3. COMPLAINT NO.
NAME OF COMPLAINANT, DRIVER #1, VICTIM OR ARRESTEE	5. DATE OF THIS REPORT	6. DATE OF ORIGINAL OCCURRENCE
FORM USED AS CONTINUATION SHEET FOR CURRENT REPORT <input type="checkbox"/>	8. OFFENSE, CHARGE OR INCIDENT ON ORIGINAL REPORT	
FORM USED TO REPORT FOLLOWUP INVESTIGATION OR SUPPLEMENTAL INFORMATION <input type="checkbox"/>	10. CORRECT OFFENSE OR INCIDENT CLASSIFICATION	CHANGED <input type="checkbox"/> YES
KIND OF REPORT CONTINUED <input type="checkbox"/> ARREST <input type="checkbox"/> VEHICLE <input type="checkbox"/> OFFENSE <input type="checkbox"/> TRAFFIC ACCIDENT <input type="checkbox"/> OTHER _____	12. MULTIPLE CLEARANCE <input type="checkbox"/> YES (LIST OTHER COMPLAINT NUMBERS IN NARRATIVE) <input type="checkbox"/> NO	

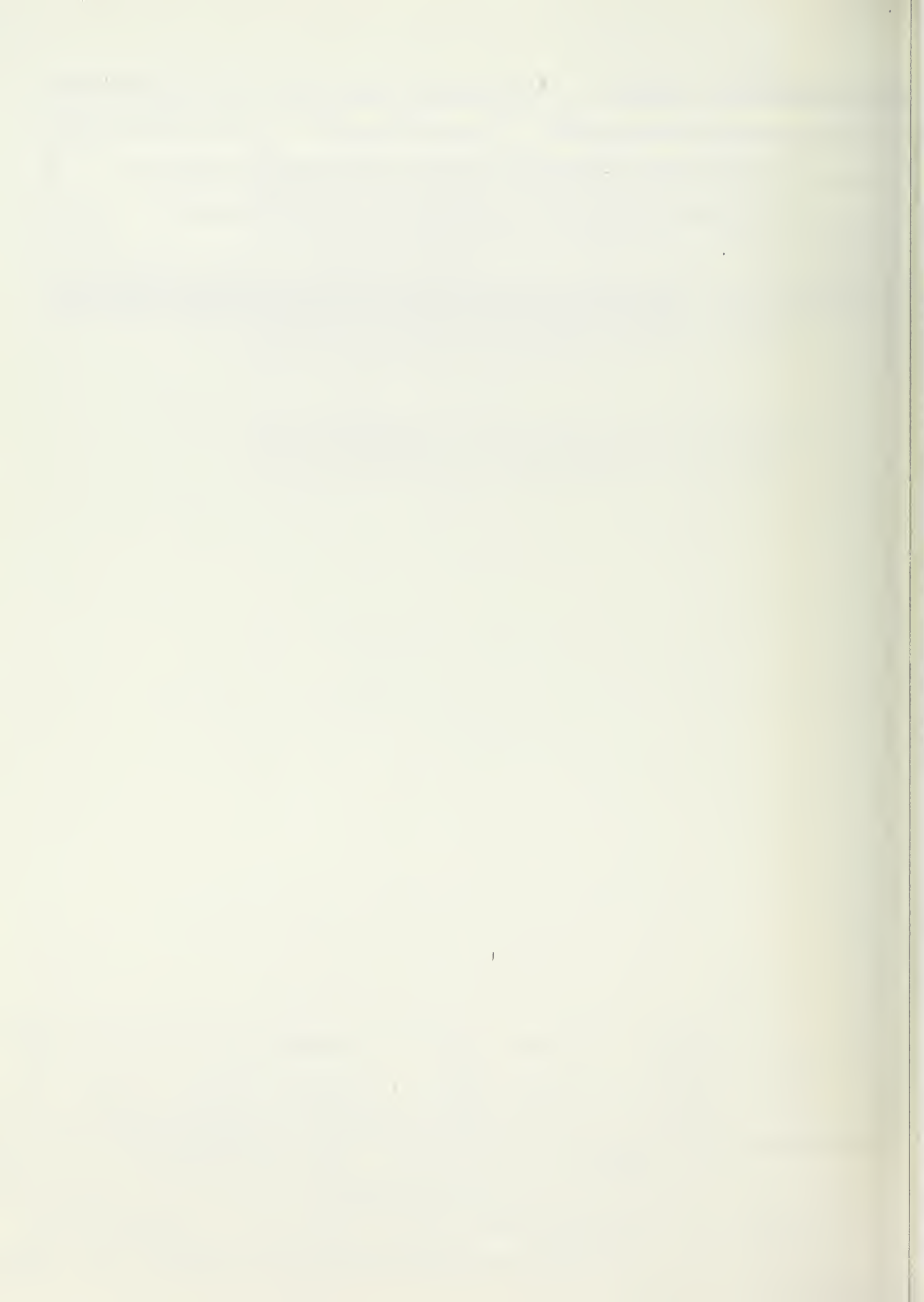
INSTRUCTIONS FOR FOLLOWUP OR SUPPLEMENTAL USAGE. UNDER NARRATIVE RECORD YOUR ACTIVITY AND ALL DEVELOPMENTS IN THE CASE SUBSEQUENT TO LAST REPORT. DESCRIBE AND RECORD VALUE OF ANY PROPERTY RECOVERED, NAMES AND ARREST NUMBERS OF PERSONS ARRESTED. EXPLAIN ANY OFFENSE CLASSIFICATION CHANGE. CLEARLY SHOW DISPOSITION OF RECOVERED PROPERTY AND INVENTORY NO. RECOMMEND TO SUPERVISOR CASE STATUS AND TO REVIEWER UCR DISPOSITION. INDICATE "ITEM NUMBER CONTINUED" AT LEFT, IF ANY.

ITEM NO.	
----------	--

	14. MONEY	JEWELRY	CLOTHING	FURS	AUTO ACCESS.	BICYCLES	MISCELL.
STOLEN	\$	\$	\$	\$	\$	\$	\$
15. RECOVERED	\$	\$	\$	\$	\$	\$	\$

REPORTING OFFICER NO.	18. CASE STATUS (STATUS MUST BE INDICATED FOR ALL CASES, INCLUDING NON-CRIMINAL INCIDENTS) <input type="checkbox"/> OPEN (PENDING) <input type="checkbox"/> CLOSED <input type="checkbox"/> SUSPENDED CASE DISPOSITION (DISPOSITION OF CRIMINAL CASES MAY BE INDICATED AS APPROPRIATE) <input type="checkbox"/> UNFOUNDED <input type="checkbox"/> CLEARED BY ARREST <input type="checkbox"/> CLEARED EXCEP.	OFFICE USE ONLY	
2ND OFFICER NO.		19. DATE/TIME TYPED NO.	20. REPRODUCED BY NO.
SUPERVISOR APPROVING NO.		21. UNIT REFERRED TO:	22. UCR DISPOSITION
		23. REVIEWER NO.	PAGE NO. OF

24. COMPLAINT NO.



Preparation of the Vehicle Report

Purpose of the Report

To record preliminary investigation data about any crime involving loss of an automobile. This form is also used to record recovery of an automobile, all impounds or "tow-ins," and requests to locate.

When to Prepare Vehicle Report

Use when auto or motor vehicle is stolen or taken through fraudulent means. Also use when tampering appears to have been for the purpose of stealing the vehicle rather than its contents. When recording the recovery of a stolen vehicle or facts of an impounded or towed vehicle or a request to locate, use this form.

Form Preparation Instructions

Theft, Recovery, Locate, Impound - Check applicable block in upper left corner.

1. Registered Owner's Name - Print the last name, first name, and middle name of the registered owner. After the middle name indicate "Mrs." or "Miss" for females; if business, indicate firm name; and if military personnel are involved, include rank and serial number.
2. Complaint Number - Insert complaint number received from communications center.
3. Registered Owner's Address - Record the complete street address, including building, room, or apartment number. Include the name of the city if outside.
4. State, Year, License Number - Record the state, year, and license number of the vehicle.
5. Make-Year-Body-Color(s) - Indicate make, year, body style, and color or color combinations.
6. Identification Number - Indicate the identification number of the vehicle.

7. Location - Record the exact address from which auto was **stolen**, recovered, or towed. If location cannot be identified by an address, show the distance and direction from a known point.
8. Motor Vehicle Inventory No. - Indicate the motor vehicle inventory number if known.
9. Reporting Person's Name - Indicate name of person reporting the offense if other than complainant. If complainant reports offense, indicate "same as above."
10. Reporting Person's Residence Phone - Indicate home phone of reporting person.
11. Reporting Person's Address - Indicate residence address of reporting person. If complainant is reporting offense and residence address is the same, simply indicate "same."
12. Other Phone - Indicate business or other phone of reporting person.
13. Date and Time Stolen/Towed - If known, indicate as requested. If unknown, estimate as accurately as can be determined. Use a range if necessary—5:30 am to 8:30 am.
14. Date and Time Reported - Indicate the date and time the police were notified of the incident.
15. Crime or Incident - Record here the general category of the offense. In parentheses in same block indicate any subcategory which might assist in a more specific classification such as: Stolen Auto - (Unauthorized use), (Recovered stolen auto), (Impound), (Request to locate), etc.
16. Date and Time Recovered - Indicate the date and time the vehicle was recovered.
17. Classification - Reporting officer should leave item blank. Report-review officer assigned to central records should classify the report in accordance with the provisions of the Uniform Crime Reporting Program (as explained in the Uniform Crime Reporting Handbook published by the FBI). He should then insert the proper Part I or Part II offense here. In noncriminal matters, an appropriate brief and uniform description of incidents will assist in summarizing department activities.

18. Unit - Enter the mobile radio unit number of the officer handling.
19. Beat - Enter the number of the beat where the incident occurred (not necessarily the same beat as the beat of the reporting officer).
20. District - Enter the number or other name of the district where the incident occurred (not necessarily the same as the assigned district of the reporting officer).
21. Reporting Area - Completed by report-review officer.
22. Watch - Enter the watch or shift being worked when offense or incident occurred.
23. Complainant's Occupation - Indicate the occupation of the complainant such as "electrician;" "attorney;" "laborer;" etc.
24. Hours of Employment - Indicate usual hours of employment or school attendance to assist follow-up officers in contacting the complainant.
25. Sobriety - Indicate whether sober (sbr); had been drinking (HBD); intoxicated (intox) or unknown (unk). Use narrative to explain further if necessary.
26. Location or Type of Premise - Indicate type of place where incident occurred. For example: "open field;" "parking lot;" "private home;" "public street;" "bar;" "retail store;" "public school;" etc. Do not indicate address of occurrence here. (This is reported in box 7.)
27. Other Vehicle Used - Describe fully vehicle used by suspects involved in the incident if another vehicle was used other than the one being reported stolen, recovered, impounded, or requested to locate.
28. Identifying Characteristics of Other Vehicle - Include peculiarities in paint, damage, stickers, equipment, etc. that will assist in identification.
29. Identifying Characteristics of Stolen Vehicle - Include unusual features or peculiarities as described in Item 28 which may help to identify the vehicle.

30. Name - Age - Witness - Parent or Guardian - Indicate here the names, ages, addresses, and phone numbers of additional witnesses who have information regarding the incident, and the name of parent or guardian if applicable. Under remarks, briefly describe the connection of witness to the incident.
31. Suspects - Identify suspects by number, name, address, sex, race, age, height, weight, hair, eyes, complexion, clothing, identifying characteristics. If arrested, show only name, address, sex, race, DOB, booking number, and charge. (Other data will be included on the Arrest Report.) Use "Narrative," and Supplemental Report if additional space is required.
- 32-35. Stolen Vehicle Data - Enter information concerning the stolen, recovered, or towed vehicle. Entries self-explanatory.
36. Mileage - Indicate the odometer reading at the time of theft (if known), and the reading at the time of recovery or tow-in.
- 37-40. Self-explanatory.
41. Radio Notified - Indicate whether the vehicle data has been provided to the communications center for listing as a stolen vehicle; date and time, and the number of the stolen message, if any.
42. Total Loss Value - Conservatively estimate value; follow-up auto theft investigator should confirm this by review of current vehicle valuation manual (Blue Book).
43. By Whom Recovered - Show name and number if police officer, and indicate department and city if outside. Show name, address, and phone number if recovered by a citizen.
44. Location of Recovery - Indicate address and place where vehicle was located when recovered.
45. Method of Theft - Show techniques used to steal car: "jump wires," "ignition left open," "towed away," "keys stolen from parking lot attendant," etc.
46. Describe Evidence of Stripping, Tampering - Show parts and accessories removed from vehicle by perpetrator. List numbers if known.

47. If Towed, Name of Garage - Indicate name of garage to which vehicle was towed.
48. Narrative - Use this space to expand or continue any of the items in the report where additional space is required. Insert number of item continued in the left column. This will include additional victims, witnesses, suspects, etc. Describe further details of the incident. Describe and indicate disposition of property and evidence including inventory numbers, summons numbers, etc. Include MO factors such as: force used, at what point, tool or weapon, and other acts or trademark. If additional space is required, use Supplemental Report to continue narrative. If the report is a request to locate be sure to list reason, authority, and disposition to be made of auto. If driver and occupants are to be detained, list authority and charges to be placed. Be sure to indicate the police unit or officer to be notified.
49. Statement of Person Reporting - Read this statement carefully to the person reporting the stolen vehicle and ask him to sign in the space indicated. Emphasize criminal responsibility for the filing of a false police report. List time and date of signature.
50. Reporting Officer - The officer writing the report should sign his name in this block and indicate his identification number. The second or accompanying officer should sign below.
51. Supervisor Approving - The immediate supervisor of the reporting officer should sign and indicate his identification number. By this action, the supervisor is indicating that he has reviewed the report and believes it has been correctly completed.
52. Case Status - The reporting officer will recommend. However, final determination will be made by the reporting officer's supervisor and status entries made on the report at the time of his review. Status must be indicated for all cases, including noncriminal incidents. The case should be considered "open" or pending if any additional information is required (even though an arrest is actually made). Cases may be "closed" only when the entire matter is completed and no additional police action is required. Cases may be "suspended" by the supervisor when every reasonable avenue of investigation has been pursued and exhausted. Under such circumstances these cases should not be "closed." Although active work on the case is discontinued, additional information such as new evidence, arrest of a suspect on a subsequent case, etc., may be forthcoming and will cause the investigation to be pursued in the future.

Case Disposition - Disposition of criminal cases may be indicated as appropriate. If the initial or preliminary investigation proves the complaint to be false, the report should be marked unfounded. Justification for this entry must be contained in the narrative portion of the report. The "cleared by arrest" and "cleared exceptional" blocks should be marked in accordance with the Uniform Crime Reporting Program as described in the FBI Uniform Crime Reporting Handbook.

(Items for Office Use Only)

53. Date/Time Typed - If the report is typed, the typist should complete this item with the date, time, and the typist's identification number. The employee reproducing the typed master should similarly indicate this information on the master itself.
54. Reproduced by - The initials and number of the employee reproducing the typed copy, if applicable.
55. Unit Referred to - Reviewer should indicate on the master copy the unit responsible for the follow-up investigation and forward the appropriate copies and assignment slips to that office. Usually felony follow-ups will be conducted by the criminal investigation unit, misdemeanors by the patrol unit, and traffic matters by the traffic unit.
56. UCR Disposition - Here the reviewing officer should indicate the appropriate classification disposition in accordance with the provisions of the Uniform Crime Reporting Program as described in the FBI Uniform Crime Reporting Handbook (Open; Cleared by Arrest or Exceptional Clearance; or Unfounded).
57. Reviewer - The report-review officer assigned to central records should sign the records copy of the report and indicate his identification number. (See complete explanation of reviewer's duties elsewhere in this report.)
58. Complaint Number - The report-review officer should check the report's complaint number against the Complaint Control Card for correctness and enter the complaint number in the lower right-hand corner of the report, resulting in a double check system.

IACP

VEHICLE REPORT

THEFT RECOVERY
 LOCATE IMPOUND

21. REP. AREA		1. REG. OWNER'S NAME (LAST, FIRST, MIDDLE)		1SEX-RACE-AGE		2. COMPLAINT NO.	
3. UNIT	19. BEAT	20. DISTRICT	22. WATCH	3. REG. OWNER'S ADDRESS		CITY	
4. STATE, YR. LIC. NO.		5. COMP'S OCCUPAT.		24. HOURS OF EMP.	25. SOBR.	5. MAKE - YEAR - BODY - COLOR(S)	
6. IDENTIFICATION NO.		7. DESCRIBE LOC. OF OFFENSE OR TYPE OF PREMISE		7. LOCATION (ADDRESS)		5. M.V. INV. NO.	
8. OTHER VEHICLE USED BY SUSPECT		LIC. NO	STATE	YR.	9. REPORTING PERSON'S NAME		10. REP. PERSON'S RES. PHONE
YEAR	MAKE	BODY	COLOR(S)		11. REPORTING PERSON'S ADDRESS		CITY
12. OTHER PHONE		11. IDENTIFYING CHARACTERISTICS OF OTHER VEHICLE		13. DATE/TIME STOLEN/TOWED		14. DATE/TIME REPORTED	
15. IDENTIFYING CHARACTERISTICS OF STOLEN VEHICLE		15. CRIME OR INCIDENT		16. DATE/TIME RECOVERED		17. CLASSIF.	

OR GUARDIAN	30. NAME	AGE	RESIDENCE ADDRESS	CITY	RES. PHONE	BUS. PHONE
	1					
	2					
	3					

18. IDENTIFY SUSPECTS BY NO. (NAME-ADDRESS-SEX-RACE-AGE-HT.-WT.-EYES-HAIR-COMPLEX.-CLOTHING. IDENTIFYING CHARACTERISTICS IF ARRESTED, INCLUDE ARREST NO. AND CHARGE)

1

2

31. IGNITION LOCKED	33. KEYS IN IGNITION	34. DOORS LOCKED	35. WINDOWS CLOSED	36. MILEAGE	37. RADIO IN CAR
<input type="checkbox"/> YES <input type="checkbox"/> NO	<input type="checkbox"/> YES <input type="checkbox"/> NO	<input type="checkbox"/> YES <input type="checkbox"/> NO	<input type="checkbox"/> YES <input type="checkbox"/> NO		<input type="checkbox"/> YES <input type="checkbox"/> NO
38. BATTERY IN CAR	39. SPARE TIRE IN CAR	40. TRUNK LOCKED	41. RADIO NOTIFIED	DATE/TIME	42. TOTAL LOSS VALUE
<input type="checkbox"/> YES <input type="checkbox"/> NO	<input type="checkbox"/> YES <input type="checkbox"/> NO	<input type="checkbox"/> YES <input type="checkbox"/> NO			

STOLEN VEHICLE RECOVERED	43. BY WHOM RECOVERED (OFFICER'S NAME AND NO. - IF CITIZEN, NAME-ADDRESS-RES. PHONE, BUS. PHONE)	
	44. LOCATION OF RECOVERY	45. METHOD OF THEFT. (JUMPWIRES-TINFOIL-IGNIT. LEFT OPEN, ETC.)
	46. DESCRIBE EVIDENCE OF STRIPPING, TAMPERING	47. IF TOWED NAME OF GARAGE

48. NARRATIVE: (1) CONTINUATION OF ABOVE ITEMS (INDICATE "ITEM NUMBER" CONTINUED AT LEFT) INDICATE ADDITIONAL VICTIMS, WITNESSES AND SUSPECTS AS OUTLINED ABOVE (2) DESCRIBE DETAILS OF INCIDENT.

19. STATEMENT OF PERSON REPORTING: I DECLARE THIS TO BE A TRUE AND CORRECT REPORT. I DID NOT GIVE ANYONE PERMISSION TO TAKE OR USE THE ABOVE DESCRIBED VEHICLE. I AM THE OWNER OR PERSON WHO WAS LEGALLY IN POSSESSION OF THE DESCRIBED VEHICLE. I WILL TESTIFY IN COURT UNDER OATH TO THE FACTS HEREIN. I UNDERSTAND THAT I MAY BE CRIMINALLY CHARGED FOR FILING A FALSE REPORT.

DATE/TIME		SIGNATURE		OFFICE USE ONLY	
1. REPORTING OFFICER	NO.	52. CASE STATUS (STATUS MUST BE INDICATED FOR ALL CASES, INCLUDING NON-CRIMINAL INCIDENTS) <input type="checkbox"/> OPEN (PENDING) <input type="checkbox"/> CLOSED <input type="checkbox"/> SUSPENDED	53. DATE/TIME TYPED NO.		54. REPRODUCED BY NO.
2. 2ND OFFICER	NO.		55. UNIT REFERRED TO:		56. UCR DISPOSITION
3. SUPERVISOR APPROVING	NO.		57. REVIEWER		PAGE NO. OF
		CASE DISPOSITION (DISPOSITION OF CRIMINAL CASES MAY BE INDICATED AS APPROPRIATE) <input type="checkbox"/> UNFOUNDED <input type="checkbox"/> CLEARED BY ARREST <input type="checkbox"/> CLEARED EXCEP.			

58. COMPLAINT NO.

Preparation of the Property Record

Purpose of the Report

To provide a formal procedure for recording continuity of possession of property and a separate accounting procedure to record continual and complete chain of possession.

When to Prepare the Property Record

Upon taking custody of evidence or any other property which is to be held by the department, the recovering officer prepares an appropriate report setting forth his investigation or other facts. This may be on an Offense Report (multipurpose), Vehicle Report, Accident Report, etc. If one of the specified reports has been prepared prior to taking property into custody, report the recovery on a Supplemental Report. The receiving (recovering) officer then delivers the property to the designated custodial officer and at that point prepares a Property Record in the prescribed number of copies.

Form Preparation Instructions

1. Status - Check whether evidence, recovered, or found.
2. Complaint Number - Enter complaint number.
3. M. V. Inventory No. - If a Motor Vehicle Inventory Number is assigned for a vehicle taken into custody at the same time, enter the M. V. Inventory Number here for reference.
4. Property Inventory No. - The property custodian has the list of control numbers and one should be assigned to this form.
5. Itemization of Property - Enter description of each article and one article only to a line.
6. Owner's Name and Address - Include if known.
7. Found or Recovered From - Name of person from whose possession property taken, the street address where located, and the date and time.

8. Reporting Officer - The recovering officer signs and beyond this box he makes no further entries.
9. Transporting Employee Receiving - If a transporting employee is used other than the recovering officer, his name, number, and district are recorded here.
10. Desk Officer Receiving - If the evidence or property is turned over to a desk officer, his name, number, and district are recorded here.
11. Property Custodian - The property custodian receiving the evidence or found property for storage and safekeeping will acknowledge receipt by name, number, time and date, in this box.
12. Property Out Date - Entries will be made in this section of the report when items are signed out from the department evidence and property room.
13. Property Returned Date - Subsequent entries will be made of property returned to maintain chain of custody and responsibility.
14. Property Received (or Disposition) - Items of evidence or other property released to the court or to its rightful owner will be recorded in this section of the report to show final disposition by time, date, and authority.
15. Complaint Number - The complaint number will be entered in the lower right-hand corner of the report as a method of double checking the number for correctness and to facilitate filing.

PROPERTY RECORD

1. STATUS—CHECK ONE <input type="checkbox"/> EVIDENCE <input type="checkbox"/> RECOVERED <input type="checkbox"/> FOUND	2. COMP. NO.	3. M.V. INVENTORY NO.	4. PROPERTY INVENTORY NO.
--	--------------	-----------------------	---------------------------

5. ITEMIZATION OF PROPERTY

1.		BIN
2.		
3.		
4.		
5.		
6.		
7.		
8.		
9.		
10.		
11.		
12.		
13.		
14.		
15.		
16.		
17.		
18.		
19.		
20.		

OWNER'S NAME AND ADDRESS

FOUND OR RECOVERED FROM	AT	DATE AND TIME
-------------------------	----	---------------

REPORTING OFFICER	NO.	DIST.	9. TRANSPORTING EMPLOYEE RECEIVING	NO.	DIST.
-------------------	-----	-------	------------------------------------	-----	-------

DESK OFFICER RECEIVING	NO.	DIST.	11. PROPERTY CUSTODIAN (TO ACKNOWLEDGE RECEIPT)		
------------------------	-----	-------	---	--	--

10. PROPERTY OUT DATE	ITEM NUMBERS	OFFICER'S SIGNATURE	NO.	PURPOSE

11. PROPERTY RETURNED DATE	ITEM NUMBERS	PROPERTY CUSTODIAN'S SIGNATURE		

12. PROPERTY RECEIVED (OR DISPOSITION) DATE	ITEM NUMBERS	OWNER OR COURT ATTACHE	ADDRESS OR COURT

PAGE NO.	OF

15. COMPLAINT NO.

Preparation of the Prosecution Report

Purpose of the Report

The purpose of this report is (1) to provide a formal procedure for assisting the investigating officer in organizing his case for prosecution; and (2) to provide assistance to the prosecutor by outlining the case, listing witnesses and evidence, and by a transmittal memo furnishing him with the necessary supporting reports and documents concerning the case and the accused.

When to Prepare the Prosecution Report

This report should be prepared in the case of every arrest where the matter will be formally presented by a prosecuting attorney. Primarily, this will occur in connection with felony matters and, consequently, the Prosecution Report will more often be completed by an investigator.

Form Preparation Instructions

1. Defendant's Name - Indicate last, first, and middle name of the defendant. If more than one, list the others in Item 15 below.
2. Sex-Race-DOB - Self-explanatory.
3. Complaint Number - Include police central complaint number.
4. Charge - Show offense defendant is charged with. If several, continue below.
5. City or State - Check the block indicating jurisdiction representing place where the charge is filed.
6. Arrest Number - Show department arrest number.
7. Date Occurred - Show date offense occurred.
8. Attachments - Indicate documents and reports provided to prosecutor with this report.

9. Date/Time Arrested - Self-explanatory.
10. Location of Arrest - Self-explanatory.
11. Original Charge - Show charge originally placed against accused if different than Item 4 above.
12. Officers Who May Testify - List the officer(s) in best position to testify as to the circumstances of the arrest.
13. Codefendant(s) - Check block if there are no codefendants. Otherwise, list codefendants with charge, sex, race, and DOB.
14. Complainant - Witnesses, etc. List other parties involved in matter as outlined, using appropriate code.
15. Narrative - Complete this item by following the special instructions contained on the form.
- 16-18. Self-explanatory.
19. Complaint Number - The complaint number will be entered in the lower right-hand corner of the report as a method of double checking the number for correctness and to facilitate filing.

IACP

PROSECUTION REPORT

1. DEFENDANT'S NAME	2. SEX	RACE	D.O.B.	3. COMPLAINT NO.
---------------------	--------	------	--------	------------------

4. CHARGE (IF MULTIPLE LIST COMPLAINT NOS. BELOW)	5. <input type="checkbox"/> CITY <input type="checkbox"/> STATE	6. ARREST NO.	7. DATE OCCURRED
---	---	---------------	------------------

8. ATTACHMENTS
 ARREST REPORT OFFENSE REPORT(S) SUPPLEMENTAL REPORT(S) LOCAL RECORD SHEET FBI RECORD SHEET STATEMENT

9. DATE/TIME ARRESTED	10. LOCATION OF ARREST
-----------------------	------------------------

11. ORIGINAL CHARGE	12. OFFICERS WHO MAY TESTIFY
---------------------	------------------------------

3. CO-DEFENDANT(S)	NAME	CHARGE	SEX	RACE	D.O.B.
<input type="checkbox"/> NONE					

CODE: C—COMPLAINANT P—PARENT/GUARDIAN V—VICTIM IF DIFFERENT FROM COMP. W—WITNESS

4. NAME	CODE	RESIDENCE ADDRESS	CITY	RES PHONE	BUS PHONE

5. INSTRUCTIONS (A) ADDITIONAL PARTIES - LIST ADDITIONAL WITNESSES, ETC., ADDITIONAL CHARGES, ADDITIONAL CO-DEFENDANTS. (B) THE CRIME - GIVE BRIEF SUMMARY DESCRIPTION OF CRIME, LIST PROPERTY STOLEN AND RECOVERED AND DISPOSITION (C) TESTIMONY - BRIEFLY INDICATE WHAT TESTIMONY MAY BE PROVIDED BY EACH WITNESS (D) EVIDENCE - BRIEFLY DESCRIBE EACH ITEM OF PHYSICAL EVIDENCE, ITS PRESENT LOCATION, WHO WILL PRESENT AT COURT (E) ELEMENTS OF OFFENSE - LIST THE LEGAL ELEMENTS OF THE OFFENSE(S) CHARGED AND INDICATE WHO CAN TESTIFY OR PRESENT EVIDENCE AS TO EACH ONE (F) REMARKS - PROVIDE ANY ADDITIONAL INFORMATION OFFICER CONSIDERS HELPFUL TO PROSECUTOR. USE SUPPLEMENTAL REPORT IF ADDITIONAL SPACE IS REQUIRED.

19 COMPLAINT NO.

PREPARED BY	NO.	17. APPROVED BY	NO.	18. DATE	PAGE NO	OF
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Section 4 - Miscellaneous Incident Reporting System

All incidents, complaints, or requests for police service which come to the attention of the department by telephone, on-view, or otherwise will initially be processed and recorded by the communications center on a Complaint Control Card. The investigating officer assigned will record his initial or preliminary investigation on the appropriate form as illustrated and explained in this reporting guide. As an exception to these written field reports, however, some minor type incidents may be reported on the Complaint Control Card as a complete report under the Miscellaneous Incident Reporting (MIR) system.

The MIR system was established to accomplish several purposes. First, to achieve total reporting of all incidents and, second, to provide a reference and means of verification of minor reports. In addition, the MIR system provides the information which is needed to assess the total police patrol workload on a time, area, and incident basis, and, further, to assess the hazards encountered by officers in the handling of incidents.

The MIR system uses IBM-type Complaint Control Cards to provide source material. Statistical runs may be made periodically from these cards to determine whether the existing patrol deployment continues to keep pace with demands for police service. Such facts as the number and types of incidents occurring, the locations, the time of day, the response time, the time spent, the hazards encountered, etc., may be readily reviewed and, after scientific analysis, the results obtained will indicate whether the present manpower deployment requires revision.

It is also technologically possible to enter the data from the Complaint Control Cards into a computer which will then produce maps for the purpose of crime and traffic analysis. For such a program to be successful, total reporting is essential.

MIR Reporting Procedures

Reporting is required on all police actions except routine patrol, routine on-view traffic citations, and follow-up investigations by follow-up units.

Initial or preliminary investigation reporting is required whether the incident is handled by a motorized patrol unit, a foot patrol officer, traffic officer, juvenile officer, investigator, or other employee.

The Complaint Control Card is used as the Miscellaneous Incident Report. The initiation and completion of this report will generally be accomplished by personnel of the communications center.

The communications center must have the following information to complete the MIR:

- Nature of the incident
- Location of the incident
- Time complaint received or on-view incident occurred
- Time out of service
- Time of arrival at the scene
- Time returned to service
- Disposition of the incident
- Hazard encountered

Radio Dispatched Calls

Every officer assigned by radio to investigate an incident will be required to advise the radio dispatcher of his arrival at the scene, and on completion of the call, report back into service by giving the codes for the type and disposition of the incident and the hazard encountered. (See Tables 1, 2, and 3 of this section for Incident, Disposition, and Hazard Factor codes.)

On-View Incidents

Officers who observe an incident "on-view" which has occurred or is occurring in their presence will describe the incident which they will be handling, give the location, and report themselves out of service.

EXAMPLE A: (After acknowledgement by radio) "unit 15 out on a fire at 8506 Dixon Boulevard."

The radio dispatcher will then initiate a Complaint Control Card and hold it pending return of the mobile unit to service.

Upon return to service, the police unit will notify radio and, by code, furnish the radio dispatcher with the type of incident, disposition, and hazard factor.

EXAMPLE B: (After acknowledgement by radio) "unit 15 returned to service, 22 boy - zero."

This would indicate that it was an on-view fire, assistance was rendered, assignment completed, no Offense Report, no apparent hazard.

"Primary Action" Handling of Incidents

Certain types of nonurgent complaints are handled by forwarding the complaint to a specific departmental unit for "primary action" handling at its convenience. Following are some typical complaints handled in this manner:

- Abandoned car
- Request to watch
- Found bicycle
- Continuing traffic complaint
- Caterpillars

The MIR (Complaint Control Card) in these cases will generally originate in the communications center from information received by telephone from the complainant. The card is then forwarded to the proper unit for handling.

When the officer has completed handling of the complaint, he will fill in the following information in the appropriate blocks on the card and route it back to the communications center:

- District (patrol beat number)
- Unit (radio call number)
- Time spent (total time in minutes)
If the complaint requires several call backs, such as an abandoned car or request to watch, enter total time devoted to the complaint.
- Incident, disposition, and hazard code
- Officer (radio unit number)
- Complaint control number, if not already assigned

In-Person Reporting of Incidents

In order to achieve total reporting, it is also necessary that a Complaint Control Card be initiated in all cases wherein an Offense Report is taken by someone other than a field unit. This would include all reports taken in-person or over the telephone by personnel of any unit of the department.

EXAMPLES:

An Offense Report of larceny (auto accessories) taken directly over the telephone by a complaint clerk and with no field unit being dispatched to investigate.

An Offense Report of assault taken directly from the complainant by an in-person complaint officer at headquarters.

An Offense Report of rape taken directly from the complainant by an investigator when the case comes to his attention during the course of another investigation.

In cases of the above type, the officer or other employee taking the report will contact the communications center by the most practical means and furnish the information necessary to initiate and complete a Complaint Control Card.

The Incident Code (Table 1 of this section)

Obviously, any incident list which exactly covers all possible situations a policeman might face would be too large and voluminous to be of any practical use. The MIR incident list shown in Table 1 of this section is intended only as an aid in categorizing the type of police service called for, and is most complete in those areas where the need for information regarding frequency, man-hours spent, time of day, etc., is most urgent. The incident list is arranged alphabetically.

An officer handling an incident is expected to notify radio upon return to service and report the code which most nearly describes the situation as he actually found it to be upon investigation.

EXAMPLE A: A patrol car receives a call of a robbery in progress at a tavern. Investigation shows that a citizen, while passing by the tavern, glanced in the window, saw a suspicious looking man standing at the bar, and got the mistaken impression that the bartender was being held up. He then called the police.

The correct incident code would not be "54 - robbery, armed, business house" as received from radio, but would be "69 - suspicious person, car, or circumstances" as the investigation showed.

The MIR incident list is not intended to be used to select a classification (type of offense) to be entered on the Offense Report. Crimes are classified on the Offense Report in accordance with the Uniform Crime Reporting Handbook. The MIR Reporting System and the Uniform Crime Reporting Program are separate and unrelated and the one should not be confused with the other.

EXAMPLE B: An officer investigates a "pigeon drop" bunco case. Although the proper MIR incident code would be "25 - fraud (checks, bunco, etc.)," the offense would be listed as Larceny (Bunco) on the Offense Report.

The Disposition Code (Table 2 of this section)

The disposition code list is also arranged alphabetically. As with the incident code list, it would be impossible to compile a list which would exactly describe every possible disposition which an officer might make. The officer should choose the code which most nearly describes the action taken.

In all cases in which an Offense Report, Vehicle Report, or Traffic Accident Report is made, the proper disposition code will be either "David" (Offense Report made - no arrest) or "Edward" (Offense Report made with arrest or citation).

The disposition code "King" (No police action possible/necessary) should be used only as a last resort when no other disposition would apply.

The Hazard Factor Code (Table 3 of this section)

A hazard factor code has been included in the MIR system in order to gather statistics on actual hazards encountered by officers in the performance of their duties. This information will assist in the deployment of manpower according to the hazards which may be anticipated based on past experience as reported by MIR. It should be possible to utilize this hazard factor information to identify certain names, addresses, or vehicles as potential hazards to police officers.

The codes are arranged on a scale of zero through nine, with the hazard factor of nine normally being considered the most serious.

When clearing from an incident, the highest hazard factor code number which applies to the incident will be reported immediately following the incident and disposition code.

Many routine incidents will result in a reported hazard factor of "Zero" (no apparent hazard) although it is generally recognized that a police officer is placed in a hazardous position the moment he puts on his uniform.

Hazard factor Number 1 would include incidents wherein officers are subjected to such indignities as heckling, cursing, name-calling, loud arguing, etc.

The other hazard factors are self-explanatory.

Written Reports—When Required

Each officer who responds to a call or investigates an on-sight situation must inform the radio dispatcher by incident, disposition, and hazard factor code of the type of report he is submitting to reflect action taken by him and information secured. The following information will be relayed to the dispatcher by code if written documents are submitted:

- Offense Report (multi-purpose) written
- Arrest Report written
- Supplemental Report written
- Vehicle Report written
- Accident Report written
- Field Interview Card (FIR) written

Verbal Reporting - Complaint Control Card (no written report required)

The following system shall be used to provide a verbal instead of a written procedure for reporting unfounded incidents, peace disturbances, and other miscellaneous incidents as listed:

a. Unfounded

When an officer arrives at the scene and there is no incident which he can locate that requires police service or the preparation of a written report, the incident should be classified as unfounded. Before classifying a radio call as unfounded, an effort should be made to locate the complaining party and to insure that no real incident is being overlooked. Further, the dispatcher shall be advised and asked if he has any further information.

When the disposition reported by the investigating officer is unfounded, the officer so indicates by using one of the following codes: (See Table 2).

Code K (King) - no police action possible/necessary - no Offense Report

Code R (Robert) - unable to locate incident or complainant - no Offense Report

b. Peace Disturbances

When a police officer receives a radio assignment for a peace disturbance and, after responding to the scene, ascertains that all of the requirements listed below are present

- (1) No parties are injured or require medical attention
- (2) There is no arrest or summons required
- (3) None of the parties wants to prosecute

The officer shall give the call number and notify the dispatcher that his assignment is classified as follows:

Code L (Lincoln) - peace restored - no Offense Report

c. Sick Cared For

When a police officer receives a radio assignment for a sick case and, after responding to the scene, ascertains that police personnel are not involved, death is not apparent, and there are no suspicious circumstances, the responding officer shall give the call number and notify the dispatcher that his assignment is classified as follows:

Code K (King) - no police action possible/necessary - no Offense Report

Code O (Ocean) - removed to medical facility - no Offense Report

d. Fire Follow-Up (where arson is not suspected)

An officer responding to a fire follow-up incident shall assist the Fire Department in any way possible. Unless arson is suspected, it shall not be necessary to prepare a written report of the incident. If arson is suspected, a full written report shall be made.

Upon determining that the incident does not involve suspected arson, the officer is to notify the dispatcher that his report disposition is as follows:

Code B (Boy) - assistance rendered/assignment completed - no Offense Report

e. Suspicious Person - Suspicious Occupants of Auto - Suspicious Auto

When a police officer receives a radio assignment regarding a suspicious person and/or suspicious occupants of auto, and/or suspicious auto and, after responding to the scene, ascertains that the suspect or suspects can account for presence or actions, he shall notify the dispatcher that his disposition is as follows:

Code K (King) - no police action possible/necessary - no Offense Report

Even though a report is not necessitated under the above conditions, officers should complete a Field Interview Card for each subject interviewed.

f. Call for Police

When a police officer receives a radio assignment of a call for police and after responding to the scene ascertains that:

- (1) No police service is necessary
- (2) Civil matter

The officer shall notify the dispatcher that his disposition is as follows:

Code G (George) - civil matter - no Offense Report

Code K (King) - no police action possible/necessary - no Offense Report

Examples of Proper Reporting (MIR)

(Refer to Incident Code, Disposition Code, and Hazard Factor Code.)

- A patrol unit is dispatched to investigate a robbery of a small grocery store. The investigation shows that the offense was a "till tap" rather than a robbery. A search of the area fails to turn up a suspect. The officers make out an Offense Report. During the course of the investigation, several uncomplimentary remarks about the officers are heard from a small group of bystanders.

The patrol unit should return to service and report to the dispatcher with the code "40 - David ' 1" which correctly indicates "larceny, till tap - Offense Report made, no arrest - minor harassment."

- A patrol unit is dispatched to investigate a traffic accident. There are no apparent injuries. An Accident Investigation Report is made and one of the drivers is issued a traffic citation. There is no resistance, interference, or harassment encountered by the officers.

The patrol unit should return to service and report to the dispatcher with the code "73 - Edward - zero" which correctly indicates "traffic accident, no injury. Offense Report made with arrest or citation. No apparent hazard."

NOTE: In the MIR system, the term "Offense Report" includes Vehicle Reports and Traffic Accident Reports.

- A traffic unit is detailed to search a certain quadrant for the suspect in a bank robbery which is being investigated by a patrol unit. He does not locate the suspect, encounters no apparent hazards, and is eventually relieved from the search.

The traffic unit should return to service and report to the dispatcher with the code "54 - X-ray - zero" which correctly indicates "robbery, armed, business house - extra unit - no apparent hazard."

- The in-person complaint officer takes an auto larceny (vehicle) report from the owner who has come to headquarters to make his report. When completed, the officer contacts the communications center by the most practical means and supplies the necessary information to initiate and complete a Complaint Control Card.
- A patrol officer finds it necessary to go out of service for a few minutes for personal reasons not of a police nature. He reports to radio, "out of the car for a minute." The radio dispatcher completes an Administrative Control Card in this case. No disposition code is necessary when returning to service.
- The phrase "out on a shake" should never be used for the above purpose. This phrase indicates that the officer is going out of service to investigate some suspicious circumstance and will always result in the radio dispatcher initiating a Complaint Control Card. When going "out on a shake," the location must always be given as well as a license number and/or other pertinent information as in any other "on-view" situation.

Administrative Handling of Complaint Control Cards

The shift supervisor in charge of the communications center will be responsible for supervising the proper completion and routing of the Complaint Control Cards.

When more than one unit is sent to an incident, one of these units will be considered the assigned unit and will report the incident, disposition, and hazard code and will be logged on the Complaint Control Card as the unit handling. All others will be reported on separate cards and marked with the incident code followed by the code letter "X" in the disposition column. This enables the report-review unit and data processing to distinguish between single incidents requiring response by only one unit.

The Complaint Control Card is completed in only one copy. Completed cards are sent from the communications center to the report-review unit of the central records center and then to data processing for processing, statistical accounting, and back to the records center for filing.

TABLE 1

INCIDENT CODE

(Determine correct code from investigation)

1. Alarm (all types)
2. Arson
3. Assault, felony (include kidnapping)
4. Assault, misdemeanor (include threats)
5. Auto recovery
6. Auto, request to locate
7. Auto theft
8. Burglary, residence
9. Burglary, all other
10. Casualty (all nontraffic and noncriminal injury, sickness, death)
11. Children, neglected or abused
12. Court attendance
13. Disturbance, family
14. Disturbance, fight (other than family)
15. Disturbance, noise
16. Disurbance, other (do not include juvenile, 34)
17. Drunkenness and/or drinking (not DWI, 75)
18. Escort, money
19. Escort, prisoner (to and from court)
20. Escort, prisoner (to and from medical facility)
21. Escort, all other
22. Fire, crowd/traffic control
23. Fire, investigate illegal burning (not arson, 2)
24. Firearm, discharging (do not include BB; see 34, 49)
25. Fraud (include checks, bunco, etc.)
26. Harbor, debris, navigation hazard
27. Harbor, water emergency
28. Harbor, all other
29. Hazard, wire down, street cave-in, etc.
30. Help the officer (emergency)
31. Homicide
32. Hospital guard
33. Juvenile, curfew violation
34. Juvenile, disturbance
35. Juvenile, runaway
36. Larceny, auto accessories
37. Larceny, car prowl
38. Larceny, coin machines (include parking meters, pay phones, etc.)
39. Larceny, shoplift
40. Larceny, till tap
41. Larceny, all other (except purse snatch, 52)

TABLE 1 (Continued)

42. Litter complaint
43. Man with weapon
44. Mental complaint
45. Mischief and nuisance (ball-playing, caterpillars, fireworks, etc.)
46. Open door on premises
47. Person, lost, found, or missing (not juvenile runaway, 35)
48. Phone calls, indecent or nuisance
49. Property damage, vandalism
50. Property, lost, found, or recovered
51. Prowler (include window peepers)
52. Purse snatch (with or without force)
53. Request to watch or patrol
54. Robbery, armed, business house
55. Robbery, armed, other (pedestrian, cab driver, etc.)
56. Robbery, strong arm (except purse snatch, 52)
57. Service call, assist other city agency
58. Service call, deliver message
59. Service call, stand by for alarm test
60. Service call, stand by to assure peace
61. Service call, all other
62. Service for Police Department (mail car, relieve clerk, etc.)
63. Sex offense, exposing
64. Sex offense, molesting
65. Sex offense, rape and attempted rape
66. Sex offense, all other
67. Stake out
68. Suicide and attempts
69. Suspicious person, car, or circumstances
70. Traffic, abandoned car
71. Traffic, other parking complaints
72. Traffic accident, injury, or death
73. Traffic accident, no injury
74. Traffic control (other than fire, 22)
75. Traffic, DWI (no accident)
76. Traffic, reckless driving (no accident)
77. Traffic, moving violation, all other
78. Vice (gambling, liquor, prostitution, narcotics)
79. Wagon call
80. Warrant and subpoena service

TABLE 2

DISPOSITION CODE

- A. Arrest made - no Offense Report needed
- B. Assistance rendered/assignment completed - no Offense Report
- C. Cancelled by radio
- D. Offense Report made - no arrest
- E. Offense Report made with arrest or citation
- F. Citation issued - no Offense Report
- G. Civil matter - no Offense Report
- H. False alarm - no Offense Report
- I. FIR made - no Offense Report
- J. Follow-up: info or evidence obtained - Supplemental Report made
- K. No police action possible/necessary - no Offense Report
- L. Peace restored - no Offense Report
- M. Referred to agency other than PD - no Offense Report
- N. Referred to other PD division - no Offense Report
- O. Removed to medical facility - no Offense Report
- P. Returned to home or family - no Offense Report
- R. Unable to locate incident or complainant - no Offense Report
- S. Unable to locate suspect - no Offense Report
- T. Warning given - no Offense Report
- U.
- W.
- X. Extra unit (in addition to or support of assigned unit)

NOTE: Offense Report includes Offense Report (multipurpose), Vehicle Report, and Accident Report.

TABLE 3

HAZARD FACTOR CODE
(Use highest number which applies)

0. No apparent hazard
1. Minor harassment or disagreement
2. Backup car used
3. Resistance by arrestee
4. Interference with arrest
5. Hostile crowd (serious harassment)
6. Officer assaulted (no weapon)
7. Officer assaulted (miscellaneous objects)
8. Officer assaulted (dangerous weapons)
9. Officer assaulted (firearms)

Section 5 - Table of Offenses and Incidents
and Appropriate Report Forms

Table 4 contains a list of offenses and incidents generally brought to the attention of the department for investigation with an indication of the suggested report form to be used.

It should be noted that in many instances combinations of offenses will be present in the same incident. When this occurs, the offense considered the most serious takes precedence for reporting purposes.

It should also be observed that no Offense Report need be prepared for on-view arrests for drunkenness or disorderly conduct. The Arrest Report alone is considered sufficient to record this type of offense. When a citizen complains about these matters, however, and there are other offenses involved, such as assault or property damage, an Offense Report should be completed as well as the Arrest Report.

TABLE 4

LIST OF OFFENSES AND INCIDENTS
AND APPROPRIATE REPORT FORMS

<u>Incident</u>	<u>Report Form</u>
Abandoned vehicle, not yet subject to tow	MIR and possibly warning notice
Abandoned vehicle, to be towed	Vehicle and traffic citation
Abandonment of refrigerators	MIR (possibly offense if prior warnings have been given)
Abduction	Offense
Abortion	Offense
Accidental injury or death	Offense
Adultery	Offense
Air rifle, illegal uses	MIR and Field Contact Card (Offense, if property damage or injury)
Alcoholic beverage violations	Offense and possibly a misdemeanor ordinance citation

TABLE 4 (Continued)

<u>Incident</u>	<u>Report Form</u>
Animals (cruelty to)	Offense, if valid complaint, otherwise MIR
Arson (suspicion of arson)	Offense
Assault (all degrees - aggravated and common)	Offense
Assault and robbery	Offense
Attempts	Offense
Auto improperly parked, complaints of; no tow	MIR and traffic citation -
Auto theft	Vehicle
Bad checks	Offense
Ball, unlawful playing in streets	MIR and possibly Field Contact Card
Battery	Offense
Barking dog	MIR and possibly misdemeanor ordinance citation
Bigamy	Offense
Bogus checks	Offense
Breaking and entering	Offense
Bribery	Offense
Burglary or unlawful entry	Offense
Burning trash illegally - no arrest	MIR
Carnal knowledge (no force)	Offense
Conspiracy to commit a crime	Offense
Child abandonment	Offense

TABLE 4 (Continued)

<u>Incident</u>	<u>Report Form</u>
Civil rights	Offense, if not valid complaint, MIR
Confidence game	Offense
Contributing to delinquency	Offense
Contributing to dependency or neglect of children	Offense
Counterfeit money or securities	Offense
Crime against nature	Offense
Cruelty to animals	Offense, if not valid complaint, MIR
Cruelty to children	Offense
Damage to property	Offense
Dangerous excavations	MIR if corrected, otherwise Offense
Dead on arrival - noncriminal	Offense
Destruction of property (any value - vandalism, malicious mischief)	Offense
Discharging firearms in city - no assault	Offense
Disorderly conduct complaint	Offense
Disorderly house	Offense
Disturbance, no assault	MIR, if other factors involved, Offense
Dog, cat bite, etc.	MIR, if rabies suspected or serious injury, Offense
Driving without owner's consent	Vehicle
Drugs - narcotics	Offense
Drunkenness complaint	MIR, if other factors involved, Offense
Embezzlement	Offense

TABLE 4 (Continued)

<u>Incident</u>	<u>Report Form</u>
Extortion	Offense
Failure to pay bill: (food, hotel, taxi fare, wages, rented vehicle)	Offense
False bomb alarm	Offense
False fire alarm	Offense
False pretenses	Offense
False report of a crime	Offense
Family argument - (no assault - no arrest)	MIR
Fire - (assist with traffic)	MIR
Fire - injury or suspicion of arson	Offense
Firearms - illegal possession or use	Offense
Forgery	Offense
Fortune-telling	Offense, if jurisdiction defines as a crime, otherwise MIR
Found property	Offense (allows for tracing) also property form when delivered to property custodian
Fraud	Offense
Gambling and related offenses	Offense
Gas leak	MIR if resolved
Gasoline (failing to pay for)	Offense
Harboring a fugitive	Offense
Homicide	Offense
Horn blowing	MIR and, if malicious, a traffic citation
Hotel fraud	Offense

TABLE 4 (Continued)

<u>Incident</u>	<u>Report Form</u>
Housing regulations (fire or health)	Offense with referral to fire or health departments. Also, possibly a misdemeanor ordinance citation
Impersonation of officer	Offense
Impound	Vehicle
Incest	Offense
Indecent exposure	Offense
Junk dealer, violations	Offense, and possibly misdemeanor ordinance citation
Kidnapping	Offense
Larceny (no personal contact)	Offense
Larceny - personal contact	Offense
Larceny - automobile	Vehicle
Larceny from auto - articles/accessories	Offense
Lewd phone calls	Offense
Letters (threatening or lewd)	Offense
License violations	Offense and possibly misdemeanor ordinance citation
Liquor violations	Offense and possibly misdemeanor ordinance citation
Live wire, dangerous; no injury	MIR
Loitering	MIR and possibly Field Contact Card if they move on, otherwise, possible Offense and/or Arrest
Lost person aided	MIR
Lost property	Offense
Lost auto tag	Offense

TABLE 4 (Continued)

<u>Incident</u>	<u>Report Form</u>
Malicious mischief	Offense
Manslaughter	Offense
Manslaughter (by automobile or other vehicle)	Accident report with supplemental
Maiming or mayhem	Offense
Mental illness - not transported by police - no injury	MIR
Missing persons	Offense
Narcotic violations	Offense
Non-support	Offense
Obscene matter	Offense
Obtaining money (or services) under false pretenses	Offense
Overdose (drugs, etc.)	Offense
Pandering	MIR and misdemeanor ordinance citation, or Arrest
Peddlers, all types	MIR and misdemeanor ordinance citation, or Arrest
Parking meters (breaking into)	Offense
Peeping tom	Offense
Perjury	Offense
Perversion	Offense
Pickpocket	Offense
Poisoning (person)	Offense
Poisoning (animal)	Offense
Poisons - unlawful sale or possession	Offense

TABLE 4 (Continued)

<u>Incident</u>	<u>Report Form</u>
Prescriptions (illegal use of)	Offense
Prostitution complaint	Offense
Prowler - no arrest	Offense
Purse-snatch	Offense
Radios, loud - no arrest	MIR
Railroad cars (breaking and entering)	Offense
Railroad cars - derailling (accidental)	Accident Report
Rape, forcible	Offense
Rape, statutory	Offense
Relocations, cars moved as a convenience (not impounded)	Vehicle
Receiving stolen goods	Offense
Riot	Offense
Robbery - armed, unarmed, or by putting in fear	Offense
Sabotage	Offense
Safe cracking	Offense
Sanitation complaint	Offense and possibly a misdemeanor ordinance citation
Seduction	Offense
Sex offenses - (rape, carnal knowledge, statutory rape, placing hands, incest, indecent exposure, sodomy)	Offense
Shoplifting	Offense
Sick or injured person - aided	MIR

TABLE 4 (Continued)

<u>Incident</u>	<u>Report Form</u>
Sidewalks - obstructing, misusing, etc.	MIR, if previously warned, Offense and possibly a misdemeanor ordinance citation
Sodomy	Offense
Soliciting	Offense
Stinkbombs, depositing	Offense
Stolen property - receiving, possessing, etc.	Offense
Stray animal	MIR, if damage or injuries, Offense
Suicide	Offense
Suicide attempt	Offense
Suspicious person - no arrest	MIR and Field Contact Card
Swindling	Offense
Tampering with auto	Offense if an attempted crime otherwise MIR and Field Contact Card
Tampering with U.S. mail	Offense
Telephone misuse	Offense if a crime or malicious, otherwise MIR
Televisions, loud - no arrest	MIR
Threatening phone calls	Offense
Ticket scalping	Offense if jurisdiction defines as a crime, otherwise MIR
Tow in - vehicle	Vehicle
Trash dumping	Offense
Trespassing	Offense if malicious or based on complaint, otherwise MIR and Field Contact Card

TABLE 4 (Continued)

<u>Incident</u>	<u>Report Form</u>
Unauthorized use of vehicle	Vehicle
Vagrancy	Offense or Arrest
Warrants - criminal	Arrest
Weapons, carrying or possession	Arrest and/or Offense
Zoning complaint	Offense



**Bureau of Operations and Research
International Association of Chiefs of Police
Eleven Firstfield Road
Gaithersburg, Maryland 20760**